DOCUMENT RESUME

ED 355 397 CE 063 250

AUTHOR	Alamprese, Judith A.; And Others
TITLE	Patterns of Promise: State and Local Strategies for Improving Coordination in Adult Education Programs. Final Report.
INSTITUTION	COSMOS Corp., Washington, DC.
SPONS AGENCY	Office of Policy and Planning (ED), Washington, DC.
REPORT NO	ED/OPP-93-7
PUB DATE	92
CONTRACT	LC89058001
NOTE	157p.; For the final report on phase 1 of this study, see CE 063 251.
PUB TYPE	Reports - Research/Technical (143)
EDRS PRICE	MF01/PC07 Plus Postage.
DESCRIPTORS	*Adult Education; *Adult Programs; *Agency Cooperation; Case Studies; *Coordination; Economically Disadvantaged; *Educational Cooperation; Educational Finance; Educationally Disadvantaged; *State Agencies; State Government; State Programs; Technical Assistance
IDENTIFIERS	California; Georgia; Michigan; New York; Oregon

ABSTRACT

State and local program efforts for delivering coordinated services in adult education were investigated. This report presents findings from phase 2 of a two-phase study of federal funding sources and services for adult education. Site visits were made to five states during 1989-1991 to examine the coordination activities that were carried out between the state adult education offices and other state agencies and the state adult education offices' activities in fostering coordination with local adult education programs. For each state selected as a case study site, a local adult education program was selected to examine the coordination activities between the state and local programs and activities undertaken by the local adult education program with other agencies. Findings indicated that the state initiatives represented four types of organizational structures that facilitated the coordination of adult education programs with job training and human services agencies: a new state agency in adult education, a state-level council, a new state grant program, and a multiple-initiative strategy implemented by a state office. An array of organizational, interpersonal communication, and resource identification strategies were used in successful coordination. Strategies applicable to other state and local programs were identified: role of leadership in fostering interagency coordination, provision of technical assistance to support coordination, and role of negotiation. (The 45-page report is followed by the case studies of state and local coordination activities in Georgia, Michigan, Oregon, New York, and California. Contains 17 references.) (YLB)

ED355392

PATTERNS OF PROMISE: STATE AND LOCAL STRATEGIES FOR IMPROVING COORDINATION IN ADULT EDUCATION PROGRAMS

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Contract No.: LC89058001

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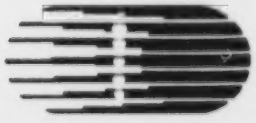
Patterns of Promise: State and Local Strategies for Improving Coordination in Adult Education Programs

Judith A. Alamprese
Nancy Brigham
June S. Sivilli

1992



COSMOS CORPORATION

Final Report Prepared for the U.S. Department of Education,
Office of Policy and Planning
under Contract No. LC89058001

PREFACE

Presented in this report are the findings from an examination of interagency coordination in adult education, which was undertaken as Phase 2 of COSMOS Corporation's two-phase study of Federal Funding Sources and Services for Adult Education. The study was conducted during 1989-1991 for the U.S. Department of Education's Office of Policy and Planning with joint funding from the U.S. Departments of Education, Labor, and Health and Human Services.

During Phase 1 of the study, information was collected on 85 programs in 12 Federal agencies that authorize funding for adult education services. The findings from this phase of the study and descriptions of the programs are reported in a companion document.*

During Phase 2 of the study, State and local program efforts for delivering coordinated services in adult education were investigated. Site visits were made to five States to examine the coordination activities that were carried out between: (1) the State adult education offices and other State agencies, and (2) the State adult education office's activities in fostering coordination with local adult education programs. This report describes the strategies used by State and local program staff to work together to provide enhanced services and resources for serving economically and educationally disadvantaged adults.

The data collection activities undertaken during the Phase 2 study would not have been possible without the cooperation and gracious support of the representatives from the State and local agencies who were interviewed as part of the study. Their willingness to describe their activities and to share with us their successes and challenges in interagency coordination is greatly appreciated. Special thanks also is extended to those who organized the site visits and provided numerous documents for us to review.

Throughout the study we benefitted from the advice of the staff of the U.S. Department of Education's Office of Policy and Planning. In addition, we were guided in this effort by members of the study's interagency working group from the U.S. Departments of Education, Labor, and Health and Human Services. We thank these members for their assistance and recommendations. Finally, we thank the members of the study's Project Advisory team, who reviewed previous drafts of this report. These members were: Judith Crocker, Jon Deveaux, Garrett Murphy, Sondra Stein, and Mary Williams.

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* Alamprese, Judith A., and June S. Sivilli, Study of Federal Funding Sources and Services for Adult Education: Final Report, COSMOS Corporation, Washington, D.C., 1992.

The members of the COSMOS team who conducted the Phase 2 study are: Judith A. Alamprese, the study's director and author of Part A of the report and the Oregon, New York, and California case studies; Nancy Brigham and June Sivilli, study researchers and co-authors with Judith Alamprese of the Georgia and Michigan case studies; Peter Bateman, the study's corporate reviewer and case study site visit member; Timothy Duggan, project assistant; and Priscilla Kates and Jeff Porterfield, members of the production staff.

Finally, while we are thankful for the assistance provided by others, the authors alone are responsible for the contents of this report.

Judith A. Alamprese
Nancy Brigham
June S. Sivilli

COSMOS Corporation

EXECUTIVE SUMMARY

Background

Federal and State policymakers guiding the nation's human resource system increasingly are encouraging the use of interagency coordination as an effective process for facilitating the delivery of integrated education, job training, and social services. As client needs for services exceed the amount of public resources available, policymakers are identifying ways in which State and local agencies can leverage resources to improve the quality and quantity of their services.

One result of policymakers' interest in having agencies work together has been the inclusion in Federal legislation of broad requirements for coordination in adult education, job training, and human services. In order to understand the types of Federal coordination requirements specified in the legislation and their effect on State and local coordination of adult education services, the Congress--in the Adult Education Amendments of 1988--called for a study of Federal funding sources and services for adult education. The Amendments required that the Secretary of Education, in conjunction with the Secretary of Labor and the Secretary of Health and Human Services, conduct an interagency study of adult education funding and activities (Section 6214 of the Hawkins-Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L. 100-297). To meet this requirement, the U.S. Department of Education's Office of Policy and Planning--with funding from the U.S. Departments of Education, Labor, and Health and Human Services--commissioned COSMOS Corporation to carry out a project with the following two objectives:

1. To collect and synthesize available information about all adult education programs within the Federal government that support literacy, basic skills, English as a second language (ESL), or adult secondary education; and

2. To provide recommendations about the need for program coordination and facilitation among Federal, State, and local levels.

This study was conducted in two phases that corresponded to the objectives above. Phase 1 of the study examined 85 programs in 12 Federal agencies that authorize the expenditure of funds for adult education services. A companion report presents the results of a review of these programs.

Phase 2 of the study investigated the organizational arrangements that have facilitated interagency coordination in adult education as well as effective strategies that have been used by State and local agencies in carrying out this coordination. In this study, five case studies were conducted of State and local adult education agencies' efforts to work together and with other agencies in funding and implementing coordinated adult education services. This report presents the findings from Phase 2 of the study, which includes an analysis of the organizational arrangements and strategies used to promote coordination and of the barriers encountered by State and local agencies in attempting to work together. Also presented are the five case studies of State and local adult education agencies' interagency coordination activities.

Study Approach and Data Collection Procedures

Study Approach. In this study, the structural arrangements that contribute to interagency coordination and strategies used by State and local agencies to facilitate coordination were examined from the perspective of the adult education system. For the purposes of the study, coordination was defined in terms of the following levels of relationships:

- The State adult education office's relationship to other State agencies in exchanging information and resources (fiscal and non-fiscal) in support of adult education services;
- A State-local program relationship in funding the delivery of adult education services that involves, in part, Federal adult education monies; and
- A local adult education agency's relationship to other local agencies in exchanging information and resources (fiscal and non-fiscal) in support of adult education services.

In contrast to previous studies that have only addressed the strategies agencies use to carry out coordination, this study examined the following two aspects of interagency coordination: (1) the structural arrangements that facilitate the ways in which State and local policymakers undertake coordination activities; and (2) the organizational and communication strategies used in coordination.

Site Selection, Data Collection, and Analysis Procedures. Two sets of criteria were used to identify and select the interorganizational relationships that would be studied. The first set addressed the characteristics of coordination activities at the State level, and the second was concerned with the characteristics of activities at the local level. The following two criteria were used to select the five State cases:

- There is evidence of coordination at the State level between the Adult Education State office and at least one other agency (e.g., labor, welfare/human services). This evidence can be either formal, such as a written agreement between agencies, or an informal arrangement between agencies to carry out joint activities; and

- There is evidence of coordination of services between a local adult education program and other local programs (e.g., job training, welfare/human services) that was facilitated by a policy or practice implemented by the Adult Education State office.

For each State selected as a case study site, a local adult education program also was selected in order to examine the coordination activities between the State and local programs as well as the activities undertaken by the local adult education program with other agencies. The following criteria were used to select a local adult education program in each State site:

- The local adult education program receives funds appropriated under the Adult Education Act and at least one other source of State or Federal funding;

- The program provides integrated services (e.g., education and other related services) in some form; and

- The program (i.e., director, staff) participates in State-sponsored activities--e.g., staff training sessions, task forces or coalitions; or the program serves as a demonstration site for the State.

Nominations of State-level sites were obtained through a review of the literature, a review of the Adult Education State Plans (i.e., section regarding coordination activities) and interviews with Federal and State officials. The results from these data collection activities were analyzed, and five State and local programs that met the selection criteria were chosen for case study sites. The State and local programs selected for study are presented in Figure 1. Listed in the figure are the initiatives examined at the State level, as well as the local sites and programs chosen for study. In two States (Oregon and New York), it was necessary to select more than one site in order to collect information about the implementation of the initiative.

The five case studies were conducted using a case study protocol. For most cases, two days were spent at the State location and one day at the local program site. While on site, the study team interviewed State adult education and other agency personnel, representatives from the governor's office (where applicable), local adult education and other agency personnel, and representatives from business and local community groups. The study team also observed interagency meetings and reviewed available written documentation concerning State and local coordination activities. Case studies were prepared for each State and local site based on the results of the site visits. In addition, a cross-case analysis of the five cases was undertaken to determine the structural conditions as well as the organizational and communication strategies that facilitate interagency coordination. Also identified through the analysis were the factors that have inhibited coordination and steps that can be taken by the Federal government and State agencies to promote the effectiveness of interagency coordination activities.

Study Findings

Organizational Structures Developed to Promote Interagency Coordination.

The State initiatives examined in the study represented four types of organizational structures that facilitated the coordination of adult education programs with job training and human services agencies. These organizational structures were:

Figure 1

CASES SELECTED FOR STUDY

State	Initiative	Local Site(s)
Georgia	• State agency created to centralize adult education services: Department of Technical and Adult Education	• Griffin Technical Institute: - Certified Literate Community Program - Renewal Education Program - PEACH (JOBS) collaboration
Michigan	• State-level council established as a result of gubernatorial and legislative action to address education and human resource needs: Michigan Opportunity System/ Michigan Human Investment Fund	• Kalamazoo Public Schools Adult Education Program: - Kalamazoo/St. Joseph Core Group - Rapid Response Team - Education for Employment Program
Oregon	• Expansion of interagency relationships between Oregon Community College System and other State agencies and organizations: - New JOBS program - Department of Corrections - Oregon Tutor Training Model - Workplace literacy initiative - Basic Adult Skills Inventory (BASIS)	• Portland Community College: - Literacy Line - Workplace literacy collaboration • Mt. Hood Community College: - "Steps to Success" Program • Chemeketa Community College: - Even Start program - Workplace literacy programs
New York	• New State funding program: - Adult Centers for Comprehensive Education and Support Services (ACCESS) - Counseling, Assessment and Support Services for Education and Training (CASSET)	• Mid-Manhattan Adult Learning Center (ACCESS Center) • Rensselaer-Columbia-Green BOCES (CASSET Center)
California	• Development of strategic planning process and interagency initiatives to institute new programs and meet legislative requirements: - Strategic Planning Process - Greater Avenues for Independence (GAIN) - Amnesty Program	• Sweetwater Union High School District: - GAIN program - Amnesty Program - "New Chance" program - Vocational education activities - G.R.A.D. consortium

- A new State agency in adult education, such as Georgia's Department of Technical and Adult Education, which has provided an infrastructure for focusing resources and staff on adult education and for calling the public's and business community's attention to the importance of basic education and skills training for adults;

- A State-level council established through gubernatorial or legislative action, which has resulted in new opportunities for addressing education and human service needs. In Michigan, the creation of the Michigan Opportunity System/Michigan Human Investment Fund at the State level and Core Groups at the community level enabled adult education agencies to work with others in planning interagency activities for servicing clients;

- A new State grant program, such as New York's ACCESS/CASSET initiative, which has enabled States to target services to a population of clients and often involves the coordination of multiple funding sources. In order to promote the delivery of integrated services to adult education clients in New York, the State adult education office has sponsored a demonstration program to develop different models of integrated service delivery that include the coordination of funding at the State level and interagency collaboration at the local level; and

- A multiple-initiative strategy implemented by a State office, which is an approach that has been used by California and Oregon to promote interagency coordination. Activities germane to this type of initiative include providing training and technical assistance, providing funding incentives to stimulate interagency coordination, and identifying available funding sources for programs. Also, these State adult education offices have coordinated with other State agencies in carrying out the requirements of the Job Opportunity and Basic Skills (JOBS) Program and have provided training and technical assistance to support program improvement efforts at the local level.

Strategies Used in Successful Coordination. The State and local program sites examined in the study used an array of strategies to establish and sustain relationships with other agencies. These included the following:

- Organizational Strategies:

  -- Interagency agreements were developed for transferring funds, services, or staff between State agencies. In New York, the State Department of Education entered into an interagency agreement with the State Department of Social Services to provide funding for a demonstration program--the ACCESS/CASSET initiative. The Department of Social Services transferred State monies to the Department of Education to fund local programs to provide integrated education, case management, skill training services, and support services;

  -- Incentives were established by States to encourage interagency coordination between local adult education programs and other education and training service providers. In California, the State Department of Education utilized State adult education monies to provide a funding incentive to local adult education programs that engaged in interagency coordination activities; and

  -- Training and technical assistance was funded by State adult education offices to assist local sites in carrying out coordination activities. In Georgia, the Department of Technical and Adult Education funded the University of Georgia to provide training and technical assistance in learner assessment and program improvement strategies.

- Interpersonal Communication Strategies:

  -- Mechanisms were created to promote ongoing communication across agencies and to clarify agency members' goals and needs. In New York, the Rensselaer-Columbia-Greene Board of Cooperative

Services CASSET center established an Advisory Council that meets monthly to discuss services that are provided to clients by participating agencies and to monitor ongoing interagency activities; and

-- Existing relationships among staff in cooperating agencies were enhanced through new initiatives. In Oregon, the Office of Community College Services staff worked with staff from the Oregon Economic Development Department in developing the New JOBS initiative in the State to serve Aid to Families with Dependent Children recipients.

- Resource Identification Strategies:

  New organizational and fiscal resources were identified to strengthen State and local initiatives. In Michigan, organizations participating in local Core Groups continually sought the involvement of other local groups to broaden the support for adult education and skill training programs. In Oregon, the Office of Community College Services encouraged adult education programs in community colleges to seek multiple sources of funding by providing information to local staff.

Benefits Resulting from Coordination. The following short-term benefits were realized from the State and local coordination activities examined in the study:

- Enhanced political visibility for the State adult education offices and local adult education programs, as illustrated in Michigan by the State director of adult education's increased access to other agencies and the local adult education programs' involvement with other agencies through the Core Groups;

- The expansion of State and local agencies' networks within their communities as well as the development of networks between States and local programs, as illustrated in Georgia by the State's establishment of

the Certified Literate Community Program and the encouragement of the establishment of workplace literacy programs; and

- More integrated delivery of education and support services to adult education clients, as illustrated by the ACCESS/CASSET initiative in New York and the Greater Avenues for Independence (GAIN) program in California. For example, ACCESS sites offer multiple services to clients including learner diagnosis, basic skills instruction, job training, counseling, and day care facilities.

Obstacles to Coordination. Three major obstacles to coordinating the funding and delivery of instruction and services were identified in the study:

- The limitations of Federal regulations and data reporting requirements--such as differing definitions of target client groups and data collection elements. Because Federal funding programs vary in their definitions and reporting requirements, States that "pool" funding across Federal programs must require local providers to report according to each different requirement, as illustrated by the fiscal reporting requirements for New York's ACCESS/CASSET initiative. Examples of strategies to overcome this obstacle are the use of a computerized management information system by Mid-Manhattan's ACCESS center, and Michigan's Core Group activities to establish common definitions of terms and data elements;

- Staff turnover in agencies and changing priorities--which slowed interagency negotiations and the implementation of some initiatives. In Michigan, the change in governor halted the Human Investment Fund initiative. While activities at the State level were held in abeyance, local Core Groups continued to meet and plan interagency activities; and

- Emergence of "turf" issues--which restricted the implementation of some agencies' coordination efforts at both State and local levels. With the establishment of a new State agency in Georgia, representatives from other agencies involved in the Interagency Council initially were hesitant to sign interagency agreements. As a result, an interim measure was taken in the establishment of a memorandum of understanding, which allowed agencies to work together before signing formal interagency agreements.

Strategies Applicable to Other State and Local Programs. The following strategies for promoting interagency coordination identified in the study are applicable to other State agencies and local programs desiring to work collaboratively:

- Role of Leadership in Fostering Interagency Coordination: State and local agency officials exhibited varied forms of leadership in their activities that were critical to the success of these activities. In the instances where State agency officials had worked together previously, they used new initiatives to expand their relationships and develop interagency activities that were broader than the scope of previous activities;

- The Provision of Technical Assistance to Support Coordination: A key activity that facilitated interagency coordination was the technical assistance that was provided by State adult education offices. Through the sponsorship of workshops and training sessions on topics relevant to local programs, such as student assessment, case management, and fiscal accountability, local adult education staff were able to enhance their skills and knowledge for providing integrated services and working collaboratively with other agency staff; and

- Role of Negotiation: The capacity of State agency officials and local program staff to negotiate with their counterparts in organizations was an important factor in the efforts examined. The process of identifying

mutual benefits to participants for entering into joint activities was a key feature of the strategies studied. In addition, the specification of the conditions of an arrangement through either formal or informal working agreements facilitated the implementation of activities and provided a mechanism for agency and program personnel to use in resolving differences.

Possible Options for Improvement for Federal and State Agencies. The results of the study suggested steps for Federal and State agencies to consider so that they can enhance their capacities to carry out interagency coordination activities. While these recommendations are based on a study of adult education systems, they also apply to other Federal and State programs. The Federal-level recommendations are:

- Continue to address the need for common definitions, outcome measures, and data reporting systems for adult education and job training services. For example, the Federal requirements for reporting client progress in basic skills could be revised so that these are similar data element requirements across Federal programs supporting basic skills education;

- Provide technical assistance and training services to State adult education, job training, and social service agency representatives in negotiation and other activities for carrying out interagency coordination. For the adult education system, consideration might be given to the establishment of a peer assistance network among the State adult education directors so they can share their strategies in implementing programs or activities that have fostered collaboration;

- Continue activities to provide State adult education office staff with information about methods for "pooling resources" and establishing demonstration programs to experiment with models for integrated service delivery. This technical assistance could include data about current activities undertaken by State adult education programs to coordinate funding and services under the JOBS program; and

- Develop and disseminate information regarding effective practice in interagency coordination, particularly as these practices begin to have an impact on client outcomes.

In addition to Federal-level efforts to facilitate coordination, State adult education officials have an important role in promoting coordination among local programs. The following activities might be considered:

- Develop incentives through the adult education State Plan as well as through special projects to encourage local programs to work collaboratively in providing services;

- Provide training and technical assistance activities for local program staff so that they can learn about strategies for working with other agencies, particularly in the areas of workplace literacy, family literacy, and other opportunity areas for collaboration; and

- Disseminate information regarding successful practices in coordination and develop peer assistance networks that can be used by local program staff.

CONTENTS

PREFACE iii

EXECUTIVE SUMMARY v

PART A: GENERAL FINDINGS

Section
I. INTRODUCTION 1

The Call for Coordination 1
Purpose of the Study 2
Overview of the Report 3

II. DESIGN FOR STUDYING INTERAGENCY COORDINATION 5

What is Meant by Coordination 5
Focus of the Study 8
Case Study Selection 12
Data Collection and Analysis Procedures 15

III. STATE AND LOCAL INITIATIVES SUPPORTING COORDINATION 17

State Initiatives 17
State-Local Coordination Activities 24

IV. STRATEGIES FOR FACILITATING INTERAGENCY COORDINATION 29

Organizational Strategies 29
Interpersonal Communication Strategies 32
Resource Identification Strategies 33
Summary 34

V. BENEFITS AND BARRIERS TO COORDINATION 35

Benefits to Coordination 35
Impediments to Coordination 38

VI. LESSONS LEARNED AND NEXT STEPS CONCERNING COORDINATION 41

Lessons Learned 41
Strategies Applicable to Other State and Local Programs 43
Options for Improvement for Federal and State Agencies 44
Final Thoughts 45

PART B: CASE STUDIES

Section
I. GEORGIA 47

A. State-Level Activities 47

Overview 47
Background of the Initiative 48
Organizational Goals 49
Interagency Agreements and Negotiations 50
Framework for a Coordinated System 51
Agency Administration and Oversight 51
Supports for Local Coordination 52
Evaluation and Technical Assistance 53
Special Features of the Initiative 54

B. Local-Level Activities 55

Griffin Technical Institute's Adult Education Program 55
Coordination Activities 55
State Policy--Local Implementation 58
List of Persons Interviewed 59

II. MICHIGAN 61

A. State-Level Activities 61

Overview 61
Background of the Initiative 61
Structure and Organization of the Initiative 63
Implementation of the Initiative 64
Outcomes Regarding Local Services and Linkages 65
Facilitating Factors and Barriers 67
Lessons and Expectations 67

B. Local-Level Activities 69

Introduction 69
Background to Interagency Collaboration 69
Description of the Core Group 70
Related Coordination Efforts 73
Summary 74
List of Persons Interviewed 75

III. OREGON 77

A. State-Level Activities 77

Introduction 77
Background to Coordination 77
Linkages Supporting OCCS 79
Interagency Coordination Initiatives 81
Special Features of the Coordination Efforts 84

B. Local-Level Activities 85

Overview of Local Adult Education Initiatives 85
Portland Community College 85
Mt. Hood Community College 88
Chemeketa Community College 90
Summary 92
List of Persons Interviewed 93

IV. NEW YORK 95

A. State-Level Activities 95

Overview 95
Background of the Initiative 95
Characteristics of the Initiative 97
Funding Structure 98
Facilitating Factors and Obstacles to Implementation 99
Next Steps 100

B. Local-Level Activities 101

Introduction: Mid-Manhattan Adult Learning Center 101
Program Services 101
Program Outcomes 105
Special Features of the Programs 105

Introduction: Rensselaer-Columbia-Greene BOCES 106
Program Services 106
Program Outcomes 109
Special Features of the Program 110
List of Persons Interviewed 111

V. CALIFORNIA 113

A. State-Level Activities 113

Overview 113
Implementation of Interagency Activities 113
Adult Education Unit Activities 116
Outcomes from Coordination 118

B. Local-Level Activities 120

Introduction 120
Overview of Adult Education Program 120
Program and Funding Coordination 122
G.R.A.D. Consortium 124
Special Features of the Program 125
List of Persons Interviewed 126

REFERENCES 129

FIGURES

1. Types of Interorganizational Relationships Examined in Study 10
2. Analytic Framework for Examining Coordination Strategies 11
3. Cases Selected for Study 14

TABLES

1. Overview of State Coordination Initiatives 18
2. State-Local Program Coordination Activities 25
3. Organizational Strategies Used to Facilitate Interagency Cooperation 30

PART A: GENERAL FINDINGS

I. INTRODUCTION

The Call for Coordination

The conventional wisdom of many Federal and State policymakers involved in managing the country's human resource system is that interagency coordination is an effective process for reducing the duplication of services, expanding an agency's resources, and for improving the quality of services that are offered to clients. In a time of decreasing public resources and increasing demands for services, policymakers are attempting to identify ways in which State and local agencies can leverage their resources to increase the quality and quantity of their services.

One result of this interest in having agencies work together has been the specification of broad requirements for coordination in legislation for adult education, job training, and human services. For example, COSMOS Corporation's report on Federal funding sources and services for adult education programs (the companion volume to this document) noted that almost half of the 85 Federal programs authorizing the expenditure of monies for adult education services suggests or requires some type of interagency coordination (Alamprese and Sivilli, 1992).

Legislation specifies four main types of interagency coordination: (1) coordination among State agencies in the review of State Plans, (2) coordination among State agencies offering training and education programs, (3) partnerships between private and/or public organizations and agencies, and (4) coordination among programs offering similar services (i.e., education, training, human services) to clients. For example, the Adult Education Act (AEA) Public Law 100-297 (as amended by the National Literacy Act of 1991), the Carl D. Perkins Vocational and Applied Technology Education Act of 1990, and the Family Support Act (FSA) Public Law 100-485, require that State agencies involve other agencies with programs authorized under relevant legislation in the review of their State Plans.

The Job Training Partnership Act (JTPA) Public Law 97-300 also calls for coordination among State training and education programs. The Workplace Literacy Program authorized under the National Literacy Act requires a partnership between public and private organizations in delivering literacy services. The aforementioned laws suggest that programs offering similar services in education, job training, and human services be coordinated in their delivery.

While coordination is a common theme in laws regulating major Federal human resource programs, little guidance is given regarding the specific ways in which coordination is to be undertaken. States and local programs are allowed substantial latitude in developing their interagency coordination strategies. The result is that States and local programs are using a variety of approaches to work together to enhance their resources and services.

Purpose of the Study

Interagency coordination is of particular concern in the delivery of services in literacy and basic skills. In addition to the Adult Education Act, the Family Support Act Job Opportunities and Basic Skills (JOBS) Program, the Job Training Partnership Act, and the Carl D. Perkins Vocational and Applied Technology Education Act provide funding for literacy and basic skills instructional services as a critical component in promoting job training and economic self sufficiency. Interagency coordination is viewed as a key process in facilitating the provision of services in these areas.

For the adult education system, the reauthorization of the Adult Education Act, under Section 6214 of the Hawkins-Stafford Elementary and Secondary School Improvement Amendments of 1988 further reinforced the importance of interagency coordination. The AEA Amendments called for the State adult education program to work with other State agencies in preparing the State Plan, as well as to encourage local programs to coordinate in delivering adult education services funded under Section 321 of the Act.

Another requirement related to coordination was the provision in the AEA Amendments that the Secretary of Education, in conjunction with the Secretary of Labor and Secretary of Health and Human Services, conduct an interagency study of Federal funding sources and services for adult education programs. To meet the Congressional requirement for an interagency study, the U.S. Department of Education's Office of Policy and Planning--with funding from the U.S. Departments of Education, Labor, and Health and Human Services--commissioned COSMOS Corporation to carry out the study during 1989-1991.

The study had two phases. During Phase 1, information was collected about the types of adult education services that were being funded by the Federal government and the level of fiscal support for these services from Fiscal Years (FY)1986-1989. The results of this study are reported in a companion document (see Alamprese and Sivilli, 1992).

During Phase 2, five case studies of effective State and local coordination efforts in the expenditure of Federal adult education monies were conducted. The purpose of these case studies was to identify effective strategies that were used by State and local adult education programs to work together and in coordination with other State and local programs in delivering literacy and basic skills services. Attention was focused on interagency efforts between adult education and job training and human services. The study also examined the issues that were encountered by agencies attempting to work together, as well as steps that could be taken to mediate these issues. This report presents the findings from Phase 2 of the study.

Overview of the Report

This document describes our findings regarding State and local program efforts to deliver coordinated services in adult education. The report contains two sections. Section A presents the general findings from the study, and includes the following remaining sections: (II) study framework and methodology, (III) the types of initiatives that have been developed at the State and local levels in support of coordination, (IV) organization and process strategies used in coordination, (V) conditions and factors that support as well as pose challenges to coordination, and (VI) lessons learned about coordination and next steps that can be taken. Part B of the report presents five case studies of State and local coordination activities in adult education.

II. DESIGN FOR STUDYING INTERAGENCY COORDINATION

What is Meant by Coordination

Legislative mandates for interagency coordination and policymakers' concerns about diminishing monetary resources for education, job training, and human services programs have increased efforts by State and local agencies to work together in funding and delivering services. While the types of interagency coordination being undertaken vary in terms of funding strategies and programmatic approaches, policymakers and local program managers generally agree that coordination is a useful process for increasing resources and enhancing services. However, beyond this general agreement there is little consensus about the definition of coordination and the ways in which coordination can best be carried out (e.g., see Grubb, Brown, Kaufman, and Lederer, 1989; Bailis, 1989; Trutko, Bailis, Barnow, and French, 1990a; and Trutko, Bailis, Barnow, and French, 1990b).

Some researchers have characterized coordination as a process whereby agencies work together to improve the delivery of services to targeted clients, while others have discussed the various benefits and barriers to coordination without actually defining what is meant by it. Recent studies examining coordination in the JTPA and vocational education systems speak to this issue. For example, in Bailis's (1989) study of JTPA programs, he found that while many State and local policymakers agree that coordination is a good idea, this consensus diminishes beyond broad statements. Lederer (1991) has pointed out coordination is a process that involves costs to all participating parties and that the benefits of coordination are best measured in terms of the improvement of services for clients.

In the absence of a clear definition of what constitutes coordination, policymakers and program personnel are moving ahead in establishing collaborative relationships to exchange resources, services, and information. Because of new efforts in welfare reform that require coordination among education, job training, and human services programs, as well as State and local agencies' increasing recognition of the benefits of working together, various types of coordination activities are underway. These efforts involve two or more agencies working together to enhance services for educationally and economically disadvantaged adults.

For the present study, two aspects of coordination were particularly important for understanding the factors that have prompted and sustained State and local adult education program's efforts to work together and with other

agencies. These were the structural conditions under which coordination is brought about and the organizational and interpersonal communication strategies that are used in carrying out coordination.

Structural Conditions for Coordination. Agencies generally form interrelationships because they are compelled to do so, or because they have a common objective or mutual need and view it in their own best interest to work together (Cook, 1977). Legislative mandates that call for interagency coordination are one example where agencies are compelled to work together in developing State Plans and in delivering basic skills, job training, and social services. Another is the implementation of gubernatorial initiatives in which human investment councils, task forces, or consortia of representatives from State agencies (e.g., education, labor, human services) are formed to lead the initiative and create policies. A new agency or organization also may be created that brings together staff and resources from existing agencies to address a social problem. This has occurred in States such as Washington and Kentucky where Human Resource Agencies have been established to centralize funding and programs. In all of these instances, organizational conditions were created in which agencies were expected to join together and share information, resources, and expertise in working toward a common objective.

In contrast to situations where interagency coordination is mandated or is a result of a policy initiative, agencies may voluntarily join together to fund programs or to enter into collaborative arrangements for exchanging services or information. Under these circumstances, the conditions for coordination are specified by the participating agencies as a means for meeting a common need. The activities undertaken by agencies to form community task forces in the Project Literacy U.S. (PLUS) media campaign is an example of this type of coordination (see Alamprese et al., 1987). The research findings on the types of agencies that are likely to work together under these sets of conditions are mixed (Van de Ven, 1976 and Cook, 1977). On the one hand, agencies with little in common are less likely than those with similar needs and complementary resources to form relationships with each other. However, as the similarity of agencies increases, so does the potential for competition. If agencies have similar services, clients, and personnel needs, they are less likely to work cooperatively in accessing and sharing resources. This suggests that optimal situation for interagency coordination is when agencies have some degree of similarity in the nature of the resources that are available for exchange (Van de Ven and Walker, 1984).

An analysis of the structural conditions that lead to interagency coordination has been virtually neglected in the recent studies of job training and vocational education collaborative efforts. Rather, the studies (Bailis, 1989; Grubb, Brown,

Kaufman, and Lederer, 1989; State of Wisconsin, 1989; Trutko, Bailis, Barnow, and French, 1990a; and Trutko, Bailis, Barnow, and French, 1990b) have identified the strategies that agencies use to facilitate coordination, the benefits realized from coordination, and the barriers encountered in the joint activities. While an understanding of these strategies is necessary, an analysis of interagency coordination would be incomplete without accounting for the impact that different organizational conditions can have on the use of such strategies.

Organizational and Interpersonal Communication Strategies. Two types of strategies used in building interorganizational relationships were considered in formulating the framework for the present study. One was the organizational strategies that agencies used to develop and sustain relationships, and the other was the interpersonal communication mechanisms that facilitate the maintenance of these relationships.

An initial step taken by agencies in becoming involved in interagency coordination is to determine the benefits and costs of exchanging resources, information, or services. As discussed in the classical research on inter-organizational relationships, three factors concerning the perceived benefits and costs of a relationship appear to be important in agency as well as individual development of such relationships. These are: (1) the extent to which a relationship is viewed as reciprocal, whereby the goods to be exchanged are perceived to be of comparable worth (Gouldner, 1959); (2) the extent to which the benefits of engaging in a relationship are perceived to be at least equal to or more than the costs (Blau, 1964); and (3) the presence of distributive justice, in which all agencies receive benefits that are proportional to their investment (Homans, 1961). Any framework for examining interagency coordination must consider the extent to which these factors can influence the development of the relationship.

Once agencies have decided that it is beneficial to work together, they must determine the boundaries of the relationship. A strategy that agencies frequently use in setting the boundaries of interorganizational relationships is to develop formal and informal agreements, such as memoranda of understanding, which specify the resources that are to be exchanged between agencies. Situations that involve the transfer of monetary resources or staff usually require written, formal agreements. Other types of resource exchanges, such as cross-referral of clients and information sharing, generally are informal agreements among staff that are based on personal knowledge and trust (Van de Ven and Walker, 1984). The formal agreements help to clarify agencies' expectations regarding the outcomes from the relationship and can be used as a check when issues arise regarding the balance of perceived benefits in the relationship. Informal agreements between

agencies often are adapted to meet the changing needs of the agencies and can be the first step in establishing a formal arrangement between the agencies.

The communication that takes place between agencies (and their staff members) is a critical element in the creation and maintenance of inter-organizational relationships. Recent studies of interagency coordination (e.g., State of Wisconsin, 1989) have pointed out the importance of the development of a common vision or set of goals among coordinating agencies. One strategy that agency members use to build a collective vision or understanding of an issue is face-to-face communication through task forces, committees, and consortia. Through their discussions in these types of meetings, agency members can form a common perspective about the services, resources, and information that are being coordinated. This consensus building, which often is evolutionary, allows agencies to reach the point where they can act jointly on an issue.

Another form of communication that is important to building interorganizational relationships is that which takes place through individuals' formal and informal networks. Personnel in education, job training, and human services agencies often serve on the same community task forces or organizational committees, and have opportunities to build interpersonal relationships through these contacts. The overlapping affiliations among agency members help to expand members' knowledge of each other. Studies of the factors that promote economic development and job training activities (Yin et al., 1989) and the experience of community task forces formed to address the literacy issue (Alamprese et al., 1987) have shown that such networks play an important role in facilitating interagency collaboration in communities.

Focus of the Study

This study examined the structural arrangements that lead to interagency coordination and the strategies used by agencies to facilitate coordination from a particular vantage point: the adult education system. The specific focus of the inquiry was State and local strategies for coordinating Federal and State adult education monies. For the purposes of the study, coordination was defined in terms of the following three levels of relationships:

1. The State adult education office's relationship to other State agencies in exchanging information and resources (fiscal and non-fiscal) in support of adult education services;

2. A State-local program relationship in funding the delivery of adult education services that involves, in part, Federal adult education monies; and

3. A local adult education agency's relationship to other local agencies in exchanging information and resources (fiscal and non-fiscal) in support of adult education services.

Figure 1 displays these three relationships. The study examined both horizontal coordination (i.e., the relationships across agencies at the State level and across agencies at the local level) and vertical coordination (i.e., the relationship between State and local levels).

In contrast to previous studies that have only addressed the strategies agencies use to carry out coordination, this study focused on the following two aspects of interagency coordination: (1) the structural conditions that influence the ways in which State and local policymakers undertake coordination activities, and (2) the organizational and communication strategies used in coordination. The analytic framework for the study is presented in Figure 2. For the purposes of this study it was assumed that when certain structural conditions are present, agencies will enter into interorganizational relationships in order to exchange resources, information, expertise, or services. The structural conditions listed in the figure refer to State and local conditions that have been present in the adult education system. Also presented are illustrative organizational and process strategies that are used by agencies to enhance coordination through activities such as establishing interagency agreements, expanding adult education services to include case management, and developing State and local policies to facilitate coordination among agencies.

In addition to the structural conditions and organizational strategies that facilitate coordination, Figure 2 includes the types of client outcomes that ideally would be realized as a result of interagency coordination. Because of the legislative emphasis on coordination, the increased need for basic skills services, and funding constraints, State and local adult education agencies are creating new ways of working together to provide enhanced services. Since these coordination initiatives are in differing stages of implementation and some have just begun, it was considered premature in this study to assess the initiatives' impact on the ultimate service outcomes--clients' attainment of increased skills, employment opportunities, and economic self-sufficiency. Rather, the study focused on identifying the structural conditions that affect the development of coordination and the strategies that State and local policymakers have found most productive in exchanging resources, developing policies, and providing services.

Figure 1

TYPES OF INTERORGANIZATIONAL RELATIONSHIPS EXAMINED IN STUDY

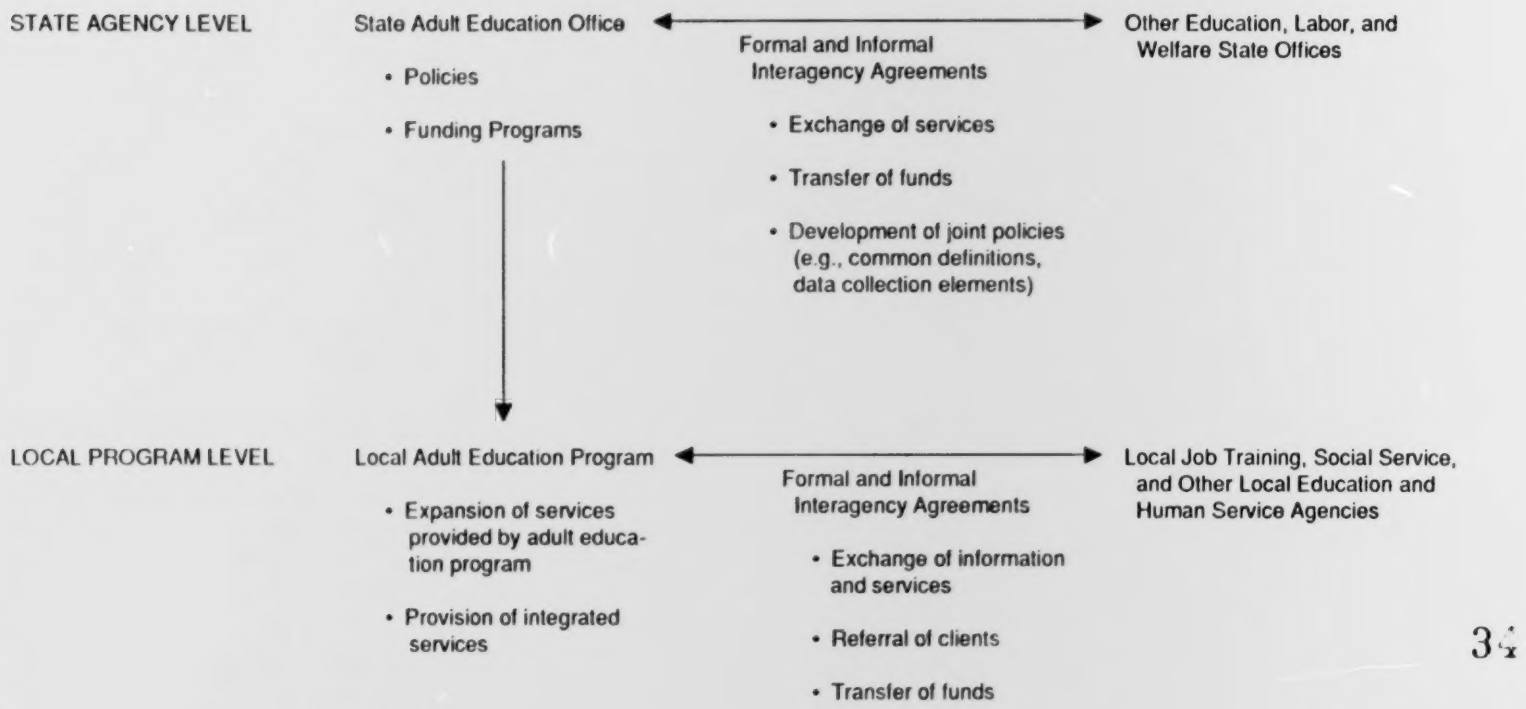
STATE AGENCY LEVEL
State Adult Education Office
• Policies
• Funding Programs
Formal and Informal Interagency Agreements
• Exchange of services
• Transfer of funds
• Development of joint policies (e.g., common definitions, data collection elements)
Other Education, Labor, and Welfare State Offices
LOCAL PROGRAM LEVEL
Local Adult Education Program
• Expansion of services provided by adult education program
• Provision of integrated services
Formal and Informal Interagency Agreements
• Exchange of information and services
• Referral of clients
• Transfer of funds
Local Job Training, Social Service, and Other Local Education and Human Service Agencies

Figure 2

ANALYTIC FRAMEWORK FOR EXAMINING COORDINATION STRATEGIES

Structural Conditions Leading to Coordination	Illustrative Intermediate Outcomes: Organizational and Interpersonal Communication Used to Facilitate Coordination	Desired Types of Ultimate Client Outcomes
• Creation of new State-level agency • Creation of new State funding program • Establishment of State interagency task force under gubernatorial initiative • Development of strategic planning process and interagency initiatives to institute new programs and meet legislative requirements • Expansion of existing interagency relationships to include new initiatives	Program Administration: • Development of formal interagency agreements (State and local levels) • Development of informal "working" agreements (State and local levels) • Identification of "mutual benefits" to agencies involved in task forces/ consortia (local level) • Exchange of resources and information between agencies: funds, data, staff training (State and local levels) Delivery of Local Services: • Provision of integrated services—either all services offered in one location or process is institutionalized for referring clients to related services offered in different locations • Expansion of adult education services to include case management and other support services • Increase in funding of local services • Expansion of types of service providers and sites for delivery of services Policy/Leadership: • State provision of technical assistance to local program staff • Adoption of common data forms, assessment procedures, and management information systems across agencies (State and local levels) • State creation of initiative for local programs to encourage interagency coordination	• Increase in level of basic skills • Enhanced self-esteem/empowerment ↓ • Enrollment in further education • Enrollment in job training program • Attainment of employment

Case Study Selection

Selection Criteria. Two sets of criteria were developed to identify and select the potential interorganizational relationships to be studied. The first set dealt with the characteristics of coordination activities at the State level, and the second dealt with the characteristics of activities at the local level. The following two criteria were used to select five State cases:

- There is evidence of coordination at the State level between the Adult Education State office and at least one other agency (e.g., labor, welfare/human services). This evidence can be either formal, such as a written agreement between agencies, or an informal arrangement between agencies to carry out joint activities; and

- There is evidence of coordination of services between a local adult education program and other local programs (e.g., job training, welfare/human services) that was facilitated by a policy or practice implemented by the Adult Education State office.

Within each State chosen as a case study site, a local adult education program also was selected to: (1) examine the coordination activities between the State and local program, and (2) examine the activities undertaken by the local adult education program with other local agencies. While the interagency coordination activities carried out by States are important to understand, any analysis of the utility of these activities must consider their impact on local program coordination. This study has investigated, therefore, the effects of State coordination activities on local programs. The following criteria were used to select a local adult education program in each State site:

- The local adult education program receives funds appropriated under the Adult Education Act and at least one other source of State or Federal funding;

- The program provides integrated services (e.g., education and other related services) in some form; and

- The program (i.e., director, staff) participates in State-sponsored activities--e.g., staff training sessions, task forces or coalitions; or the program serves as a demonstration site for the State.

In addition to the aforementioned criteria, other factors were considered in the final selection of sites. An attempt was made to choose sites that represent the main adult education funding and service delivery systems (e.g., local education agencies and community colleges), that have been involved in innovative initiatives (e.g., program restructuring), and that reflect a range of State program sizes.

Case Selection Process. Nominations for the State-level case study sites were obtained through the following procedures: (1) a review of the literature, (2) a review of the Adult Education State Plans (section describing coordination activities), and (3) interviews with Federal and State officials. The nominations were reviewed using the selection criteria, and nine States that appeared to meet the State criteria were chosen for screening. The study team conducted telephone and in-person interviews with the nine adult education directors or individuals responsible for coordination initiatives. The results of the interviews were analyzed, and five States were chosen that best met the two selection criteria, that reflected a range in scope (i.e., one large initiative versus several smaller efforts) and length of implementation, and that represented the main service delivery systems. The individuals interviewed in each of the five States then were asked to identify at least one local adult education program in their State that met the study's criteria and that best illustrated the implementation of the initiative at the local level.

The State and local programs selected for case study sites are presented in Figure 3. Listed in the figure are the initiatives selected for examination at the State level, as well as the local sites and programs chosen for examination. In two of the States (New York and Oregon), it was necessary to select more than one site in order to collect information about the implementation of the initiative.

The State initiatives represented two broad categories of involvement by the adult education office and source of development: (1) the adult education office was one of many participants in an initiative that was created by gubernatorial or legislative action, and 2) the adult education office had a key role in developing and implementing the initiative. Two of the State initiatives (Georgia and Michigan) were of the former type, while the other three State initiatives were primarily activities begun by the State to meet the need for enhanced services because of welfare reform and other legislative programs. The initiatives also

Figure 3

CASES SELECTED FOR STUDY

State	Initiative	Local Site(s)
Georgia	• State agency created to centralize adult education services: Department of Technical and Adult Education	• Griffin Technical Institute: - Certified Literate Community Program - Renewal Education Program - PEACH (JOBS) collaboration
Michigan	• State-level council established as a result of gubernatorial and legislative action to address education and human resource needs: Michigan Opportunity System/ Michigan Human Investment Fund	• Kalamazoo Public Schools Adult Education Program: - Kalamazoo/St. Joseph Core Group - Rapid Response Team - Education for Employment Program
Oregon	• Expansion of interagency relationships between Oregon Community College System and other State agencies and organizations: - New JOBS program - Department of Corrections - Oregon Tutor Training Model - Workplace literacy initiative - Basic Adult Skills Inventory (BASIS)	• Portland Community College: - Literacy Line - Workplace literacy collaboration • Mt. Hood Community College: - "Steps to Success" Program • Chemeketa Community College: - Even Start program - Workplace literacy programs
New York	• New State funding program: - Adult Centers for Comprehensive Education and Support Services (ACCESS) - Counseling, Assessment and Support Services for Education and Training (CASSET)	• Mid-Manhattan Adult Learning Center (ACCESS Center) • Rensselaer-Columbia-Green BOCES (CASSET Center)
California	• Development of strategic planning process and interagency initiatives to institute new programs and meet legislative requirements: - Strategic Planning Process - Greater Avenues for Independence (GAIN) - Amnesty Program	• Sweetwater Union High School District: - GAIN program - Amnesty Program - "New Chance" program - Vocational education activities - G.R.A.D. consortium

varied in terms of the number of agencies involved; however, all initiatives had some participation by the State human services and labor departments. Finally, the adult education delivery systems selected for the study represented the variety of systems operating across the country. Local education agencies were selected in Michigan, California, and New York. The community college system was examined in Oregon, and a technical institute was selected in Georgia. In addition, an intermediate education agency was the second site selected in New York.

The programs selected at the local level involved a combination of welfare reform, workplace literacy, and special programs designed by the State to foster the integration of services. This array of initiatives at both the State and local levels permitted an examination of a variety of structural conditions and organizational strategies that are used to facilitate interagency coordination.

Data Collection and Analysis Procedures

Case Study Site Visits. In order to collect information concerning State and local adult education coordination activities, five case studies were conducted. Using a case study protocol, which contains the study questions to be answered, the types of data to be collected, and the individuals to be interviewed, two researchers spent approximately three days at each site. For most cases, two days were spent at the State location and one day at the local program site. While on site, the researchers interviewed State adult education and other agency personnel, representatives from the governor's office (where applicable), local adult education and other agency personnel, and representatives from business and local community groups. The researchers also observed interagency meetings and reviewed available written documentation concerning State and local coordination activities.

Data Analysis. Case studies were prepared for each State and local site based on the results of the site visits. In addition, a cross-case analysis of the five cases was undertaken to determine the structural conditions as well as the organizational and communication strategies that facilitate interagency coordination. Also identified through the analysis were the factors that have inhibited coordination and steps that can be taken by the Federal government and State agencies to promote new activities and improve the quality of interorganizational arrangements currently in place.

III. STATE AND LOCAL INITIATIVES SUPPORTING COORDINATION

This section describes the five State initiatives selected for the study, with an emphasis on the role of the State adult education office in each initiative's activities. The discussion provides a context for understanding the organizational and interpersonal communication strategies used by agencies to facilitate interorganizational coordination, which are described in subsequent sections of this report.

Also discussed in this section are the activities State adult education offices have undertaken to foster coordination with local programs. This State and local program relationship in funding and strengthening the delivery of adult education services is examined in relationship to the State-level initiative activities.

State Initiatives

The five State initiatives chosen for investigation represented the variety of coordination activities involving adult education that were underway at the study's inception. In some cases the State adult education office was a primary developer of the initiative, in others the office was one of several entities participating in the initiative. Presented in Table 1 is an overview of each State initiative, including the main impetus for its development, the agencies working in collaboration with the State adult education office, and this office's role in the initiative. These characteristics are discussed below, along with a general typology of the initiatives.

Typology of Initiatives. The adult education offices in the five States selected for investigation were involved in a variety of interagency arrangements supporting coordination. These arrangements represent four types of organizational structures:

- State-level agency created to centralize adult education services and increase the visibility and importance of adult education services in the State (Georgia);
- State-level council established as a result of gubernatorial or legislative action to address education and human resource needs (Michigan);

Table 1

OVERVIEW OF STATE COORDINATION INITIATIVES

State	Initiative	Impetus for Initiative	Interagency Involvement	Adult Education Office's Role in the Initiative
Georgia	Department of Technical and Adult Education • Office of Adult Literacy	Gubernatorial commission on economic development and education, which led to legislative action for new department	Interagency Council for Adult Literacy • Governor's office • Department of Education • Department of Human Resources • Department of Labor • Department of Corrections • Board of Regents • Georgia Public Telecommunications System • Georgia Public Library System	One of the key offices responsible for implementation
Michigan	Michigan Opportunity System/ Michigan Human Investment Fund	Gubernatorial task forces on employment and the economy	Program Administrators' Committee • Department of Education • Department of Social Services • Department of Labor • Department of Rehabilitation Services • Governor's Office for Job Training	Involved in implementation as member of Program Administrators' Committee
New York	ACCESS/CASSET	New York State welfare reform initiative	ACCESS/CASSET Funders • New York State Education Department • Department of Social Services • State Department of Labor • State Office of the Aging • JTPA	Key responsibility for development and implementation

(Continued on next page)

Table 1, (Continued)

State	Initiative	Impetus for Initiative	Interagency Involvement	Adult Education Office's Role in the Initiative
California	Strategic planning process and interagency initiatives to meet legislative requirements	Changing demographic and economic conditions in state; state welfare reform program	Strategic Planning Process: • State Department of Education • Community College System • California State Library • California Literacy • KCET-TV (PBS affiliate) GAIN (welfare reform) • Department of Social Services • Employment Development Department	Key responsibility for development and implementation
Oregon	Expansion of interagency relationships between Oregon Community College System and other State agencies and organizations	State welfare reform program and Oregon Progress Board's strategic plan	Welfare Reform Initiative • Office of Community College Services • Oregon Economic Development Department • Oregon Department of Human Services, Adult and Family Services • JTPA Other Agency/Organizational Involvement • Department of Corrections • Business and industry	Key member of development and implementation team

- State funding program created to foster integration of services at the local level (New York); and

- Multiple programs or initiatives undertaken by the State office that involve interagency coordination (California and Oregon).

The creation of a new State agency in adult education (along with technical education or another program area) is an action States have taken to provide an infrastructure for focusing resources and staff on adult education and for calling the attention of the public and business community to the importance of basic education and skills training for adults. In Georgia, a Department of Technical and Adult Education (DTAE) was established as one means of coordinating the efforts of the various State agencies funding basic skills and job training programs. The formation of this new agency also was intended to send a signal to the business community that adult education programs are critical services for improving the economic viability of the State.

Within the new departmental structure, adult education was given prominence through the establishment of an Office of Adult Literacy. This Office, which has responsibility for educational services to out-of-school adults, was charged with restructuring the service delivery areas for local adult education programs, for setting performance standards for these programs, and for addressing staff training, certification, and student assessment issues. The Interagency Council for Adult Literacy also was created to promote interagency coordination and to guide the activities undertaken by the Office of Adult Literacy. The Council, comprised of representatives from the key State agencies involved in funding basic skills programs, was formed to address issues raised by the Office and to facilitate interagency activities undertaken by the agencies represented on the Council.

The second type of organizational arrangement represented by the initiatives in the study is a State-level council. A number of cabinet councils, task forces, or boards have been established by States to spearhead gubernatorial or legislative initiatives. In most instances, the involvement of the State adult education office has been as a participating member of a council or other entity representing the perspective and interests of basic skills and literacy education. For this study, the Michigan Opportunity System (the initiative) and the Michigan Human Investment Fund Board (its supervisory board) was selected for investigation because of the initiative's broad mission to improve the literacy and employability skills of adults and because of the involvement of State government and business and industry.

The Human Investment Fund Board (which was disbanded after the study was underway because of a change in governors) was comprised of a board of directors that reported to the governor and two committees--a Policy Advisory Committee and a Program Administrators' Committee. These committees were charged with developing policies for the initiative and the systems required to implement them. The involvement of the State adult education office (Adult Extended Learning Services) in the Board was as a member of the Program Administrators' Committee, as represented by the director of Adult Extended Learning Services. This committee had responsibility for recommending to the Board the systems or programs that should be developed for implementing the goals of the initiative at the community level.

A third arrangement examined in the study is a new State funding program. The creation of a new funding program is a strategy that is used by States to target services to a population of clients, and sometimes involves the coordination of multiple funding sources.

The New York State Education Department's ACCESS (Adult Centers for Comprehensive Education and Support Services) and CASSET (Counseling, Assessment and Support Services for Education and Training) initiative was instituted by the Office of Continuing Education to encourage the provision of integrated services by local adult education programs. The initiative, a collaborative effort primarily with the State Department of Social Services, also utilizes monies from several State and Federal funding sources targeted for basic skills, vocational education, counseling, and supportive services.

The final interagency arrangement investigated is a multiple-initiative strategy, in which a State agency or office engages in a number of simultaneous efforts to promote interagency coordination, rather than conduct one major, all-encompassing initiative. This strategy sometimes is used by a State program office to respond to new legislative requirements or to institute a program improvement process, and often builds upon existing relationships with other State programs or agencies.

The interagency activities that were initiated by the State adult education offices in California and Oregon illustrate this type. In California, the State Department of Education Youth, Adult and Alternative Educational Services Division works with the State Department of Social Services and the State Employment Development Department in carrying out the State's welfare reform program. This relationship among the agencies has developed over a number of years and broadened in scope with the expansion of the welfare reform program. Within the Division, the Adult Education Unit has been engaged in a multi-year strategic planning process, involving representatives from the main adult edu-

cation providers in the State, in which policies and procedures have been developed for improving the functioning of the adult education system.

The Oregon Office of Community College Services is conducting several activities in conjunction with other State agencies concerning the implementation of the State welfare reform program, as well as efforts related to the State's economic development plan. These coordinated activities have developed due to longstanding relationships among the agencies that have expanded to meet new legislative requirements and State economic initiatives. In some instances, the Office of Community College Services has been the catalyst for an activity; in others, the Office has been one of many agencies working together to improve systems for delivering basic skills and job training services to adults.

Impetus for Initiatives. While the five coordination initiatives vary in emphasis and scope, they all were developed in response to one of two national concerns: the need to increase our economic productivity and the need to improve the effectiveness of our welfare system. In Georgia and Michigan, there was gubernatorial and legislative interest in enhancing the economic positions of the States through new initiatives, including education and job training programs. For example, the Governor of Georgia formed a Growth Strategies Commission to analyze the State's capacity to undertake economic development activities, as well as a Task Force on Adult Literacy to examine the magnitude of the basic skills and literacy problem. One resulting action was the establishment of a new State Department of Technical and Adult Education to coalesce efforts to meet these two needs.

The driving force behind the ACCESS/CASSET initiative in New York was the State's welfare program and the goal of the State Education Department to have an integrated system for the delivery of adult and vocational education programs that includes a full array of support services. The diversified interagency coordination strategy undertaken in California and Oregon was in response to welfare reform mandates, as well as workforce enhancement initiatives (Oregon) and adult education system reform efforts (California).

One assumption underlying all of the initiatives was the belief that basic skills and literacy education should be a critical component of efforts to increase the effectiveness of the welfare system in enabling welfare recipients to become economically self-sufficient. It also was thought that education should play a key role in economic development and workforce enhancement programs instituted by States. The inclusion of basic skills and literacy education in such initiatives both provided new opportunities for adult education funders and service deliverers and required that they coordinate with non-education agencies in developing interagency arrangements for supporting and implementing programs.

Forms of Interagency Involvement. One criterion used in selecting the State initiatives was the presence of an interorganizational arrangement involving the State adult education office along with other State agencies. Four of the interagency arrangements took the form of structured groups--i.e., councils (Georgia), committees (Michigan, California), and a board (Oregon). These entities functioned as advisory groups and had differing levels of influence. In Georgia, the Interagency Council was designed as a policy group for providing direction to the new agency on issues such as the development of programs for special population groups and for supporting staff development and training for personnel from agencies involved in interagency activities. In Michigan, the Program Administrator's Committee was a working group to the Human Investment Fund Board that provided recommendations concerning the development of programs for implementing the Michigan Opportunity System. California's Strategic Plan Interim Steering Committee (with four standing subcommittees) operated as a working group that reviewed all documents produced by Strategic Plan project staff and approved recommendations made as part of the initiative. The JOBS Management Board created in Oregon was designed to guide the overall implementation of the welfare reform initiative of the State and included membership by directors from the Office of Community College Services, Adult and Family Services, and the Economic Development Department.

In contrast to the creation of structured groups, some interagency arrangements were carried out through written agreements between agencies without the creation of a formal group. In New York, agreements were drawn up between the State adult education office and other agencies that did not involve the formation of a separate group to carry out the coordination activity. These agreements were used for transferring funds between agencies. Some initiatives, such as in Michigan and Oregon, involved both a formal group and written agreement.

Role of the State Adult Education Office. The five State initiatives were selected, in part, because they illustrated differing roles for the State adult education office in implementing initiative activities. These roles took two main forms: (1) a primary role in carrying out the initiative, and (2) a secondary role as one of many participating entities. The initiatives in Georgia, New York, California, and Oregon were ones in which the State adult education office had an instrumental role in performing tasks related to the initiatives. In Georgia, the Office of Adult Literacy was a key component of the new agency. In New York, the Office of Continuing Education designed a new funding program and coordinated the varied funding sources needed to carry out the program. California's Division of Youth, Adult and Alternative Educational Services was a key office involved in welfare reform and the Adult Education Unit spearheaded a strategic planning process to improve the functioning of the adult education system in the

State. The Oregon Office of Community College Services was in the center of several interagency activities concerned with welfare reform, correctional education, and workplace literacy.

The role played by Michigan's Adult Extended Learning Services illustrates the second type of adult education office involvement in the initiatives. Because of the size and complexity of the Michigan Human Investment Fund, State office-level staff participating in the initiative were members of advisory groups that made recommendations to the governing Board. In this capacity, the influence exerted by the adult education office in the Human Investment Fund was less direct than that of the adult education offices in the other four initiatives.

Summary. The five initiatives illustrated a variety of organizational structures that provided opportunities for State agencies to work together in funding programs, setting policy, and developing services. Within the initiatives, some interagency activities were guided through the operation of structured groups while others were implemented through written agreements only. Although there were some differences in the role of the State adult education office in implementing the initiative, in four of the States the office provided strong leadership in working with other agencies and influencing the activities that were undertaken.

State-Local Coordination Activities

One purpose of this study was to investigate the effects that State initiatives had on local program coordination. While the actions of the State adult education office with other State agencies were critical for establishing processes for transferring funds and exchanging services, equally important were the activities undertaken by the State adult education office to facilitate the implementation of the State initiatives and to foster coordination at the local level. Presented in Table 2 is a summary of the activities initiated by the five States to enhance local agency capacities to work collaboratively with other agencies and to provide more integrated services. These activities represent three categories of actions taken by States:

- Development of enhancements to the local adult education service delivery systems;
- Development of policy and planning mechanisms; and
- Provision of training and technical assistance.

Table 2

STATE-LOCAL PROGRAM COORDINATION ACTIVITIES

State	Activity	Purpose
Georgia	• Reorganization of local service delivery areas from 89 to 36	• Facilitate interagency coordination and provision of integrated services
	• Development of technical assistance efforts in setting standards and providing statewide staff development	• Upgrade the quality of adult education program services and personnel
	• Creation of Certified Literate Community initiative	• Encourage local agencies and organizations to work togetner in addressing a community's literacy problem
Michigan	• Establishment of 25 local Core Groups	• Provide a mechanism for facilitating interagency coordination among basic skills, job training, vocational education, and social services programs
New York	• Creation of Adult Centers for Comprehensive Education and Support Services (ACCESS)	• Serve as comprehensive model of service delivery, in which basic education, vocational education, counseling, day care, and job readiness services are offered in a single site
	• Creation of Counseling Assessment and Support Services for Education and Training (CASSET)	• Serve as model for ensuring the coordinated delivery of basic education, vocational education, day care, and job readiness services in a community
California	• Implementation of Strategic Planning Process	• Review current state of practice of adult education and develop recommendations for enhancing the delivery of local services through state policy initiatives and interagency coordination
	• Implementation of Greater Avenues for Independence (GAIN)	• Provide comprehensive services to welfare recipients
	• Specification of funding incentives for Adult Basic Education (ABE) programs in the Adult Education State Plan	• Increase the provision of ABE services in local adult education programs
Oregon	• Implementation of New JOBS program	• Provide comprehensive services to welfare recipients
	• Development of Basic Adult Skills Inventory System (BASIS)	• Serve as an interagency model for delivery of assessment services, including the provision of staff training to local program personnel
	• Development of Oregon Tutor Training Model	• Support development of tutor training program to enhance the quality of tutoring services provided in the State

Illustrative examples of the activities developed by States for each category are described below.

Enhancements to the Service Delivery System. Three types of activities were undertaken by State adult education offices to improve the quality and breadth of services provided in local programs: (1) restructuring of service delivery areas for adult education programs, (2) operation of pilot welfare reform programs, and (3) provision of funding incentives for local programs.

The major initiative in restructuring was the Georgia reorganization of its service delivery areas from 89 to 36 programs. In an effort to consolidate services and promote local interagency coordination, the Department of Technical and Adult Education sponsored a competitive bidding process whereby local education agencies, postsecondary vocational-technical institutes, and other entities applied to become literacy service delivery area grantees. The procurement process resulted in a new system of service providers consisting of primarily vocational-technical institutes, a number of local education agencies, and one public college. In order to encourage interagency coordination, the literacy service delivery areas were required to form local advisory councils with representation from business, industry, education, and economic development groups.

New York's ACCESS/CASSET initiative also required the restructuring of local services. ACCESS grantees had to provide an array of services, including education, vocational training, counseling, assessment, and client support services in one site. CASSET grantees had to provide the same types of services, but the services did not have to be delivered out of one geographical location. Both programs required coordination between the local adult education program and other agencies in delineating the types of services to be delivered.

The implementation of pilot welfare reform programs has provided an opportunity for local programs to expand the types of services that are offered to adult basic education clients. The Sweetwater (California) Union High School Greater Avenues for Independence (GAIN) program and the Mt. Hood (Oregon) Community College "Steps to Success" program have been implemented as self-contained services within adult basic education programs. However, the staff from these programs have shared their experiences with others providing adult basic education instruction regarding the delivery of case management services and strategies for working with mandated program participants, such as welfare recipients.

Through the provision of funding incentives by State adult education offices, local programs have been encouraged to pursue interagency coordination. For example, California implemented an incentive process using its Adult Education

Act Section 321 funding which specified that local agencies could receive a 25 percent higher funding rate for students served through collaborative arrangements.

Development of Policy and Planning Mechanisms. States have promoted interagency coordination at the local level through policy directives and planning programs. In Michigan, local programs were asked to establish Core Groups, consisting of representatives from adult, secondary, and postsecondary education, social services, job training, business, organized labor, and community organizations, to provide a planning mechanism and leadership structure for local program coordination. The Core Groups were modeled on the State's Human Investment Fund Office (HIFO) Board and were conceived as vehicles for implementing the policies and programs that were developed by HIFO.

Another type of program was the Georgia Certified Literate Community initiative, which was a mechanism for encouraging local agencies to work together to address the community's literacy problem. Pilot sites were identified through a competitive proposal process sponsored by the Department of Technical and Adult Education, with the expectation that the sites would design innovative approaches for involving all segments of the community in achieving a goal of 100 percent literacy.

Provision of Training and Technical Assistance. State adult education offices have directly provided or funded training and technical assistance efforts to enhance coordination and, ultimately, the quality of local programs. In Oregon, the Office of Community College Services has instituted the BASIS (Basic Adult Skills Inventory System) program, in which adult education and the Oregon New JOBS welfare reform program staff are trained in program assessment procedures. California's GAIN and JTPA program staffs have been trained to use CASAS (Comprehensive Adult Student Assessment System), which was originally developed for the adult basic education system. In Georgia, the Department of Technical and Adult Education has funded a statewide staff development initiative, in which instructor training and program evaluation procedures are being disseminated to literacy service delivery area staff.

Summary. The State adult education offices have taken a multi-faceted approach to facilitating local program coordination and improvement efforts. Through structural changes, such as the realignment of literacy service delivery areas and the funding of new program models, adult education programs have broadened their range of services as well as the organizational structures used to guide them. This expansion of the scope of services (i.e., emphasis on case management in adult education programs) has been prompted, in part, by the welfare reform programs that have been implemented in States. The piloting of

these programs has provided adult education staff with opportunities to work collaboratively with human service and job training programs in designing comprehensive services for clients.

Interagency coordination also has been encouraged through the implementation of State policies and technical assistance efforts. These activities, for the most part, have been designed to give local adult education programs flexibility in developing strategies for working with agencies and for coalescing community support to address the needs of clients.

IV. STRATEGIES FOR FACILITATING INTERAGENCY COORDINATION

The State and local program sites examined in this study used an array of approaches to establish and sustain relationships with other agencies. These approaches included organizational, interpersonal communication, and resource identification strategies for creating environments in which agencies could work together effectively in coordinating resources, services, and information.

This section describes the types of strategies used at the State and local program levels to foster interagency coordination. The examples presented in the discussion are drawn from both the State initiatives and local adult education program activities that were investigated.

Organizational Strategies

A primary strategy used by the State and local adult education programs to set boundaries for the interorganizational relationships that were formed was the development of interagency and intra-agency agreements, as well as less formal "working agreements" that specified the circumstances for exchanging resources and services. The State adult education offices also provided program incentives, technical assistance, and training to encourage local adult education programs to work with other agencies in their communities. Presented in Table 3 are examples of each of these organizational strategies, which are described below.

Development of Agreements. State agencies and local programs entered into interagency agreements that specified the conditions for transferring funds, services, or staff between agencies. In some instances, the transfer of funds was within an agency as well as between agencies. For example, the New York State Education Department entered into funding agreements with the Department of Social Services, the Office of Aging, and the Department of Labor for carrying out the ACCESS/CASSET initiative and the State welfare reform program. Within the department, State and Federal adult education as well as vocational education monies were used to support this initiative. In California, the Health Welfare Agency transferred monies to the Amnesty Education Office in the Department of Education to fund local educational agencies and community-based organizations to provide adult education services under the Amnesty Program.

At the local level, adult education programs also entered into agreements with other agencies to facilitate coordination activities and the transfer of funds. Sweetwater Union High School District in California was one of several agencies

Table 3

ORGANIZATIONAL STRATEGIES USED TO FACILITATE INTERAGENCY COOPERATION

Strategy	Example
• Development of interagency and intra-agency agreements for transferring funds and facilitating the provision of integrated services	• New York: State Education Department with Department of Social Services, Office of Aging, Department of Labor for supporting ACCESS/CASSET initiative
	• California: State Department of Education with Department of Social Services and Employment Development Department for supporting State welfare program (GAIN)
• Development of formal agreements for exchange of services	• Oregon: Office of Community College Services with Economic Development Department for assessment services in State welfare program (New JOBS)
	Office of Community College Services with Department of Corrections for provision of literacy instructional services in correctional institutions
• Development of "working" agreements for designating responsibilities of agencies	• Georgia: Department of Technical and Adult Education with agencies involved in Interagency Council for Adult Literacy specifying responsibilities of agencies
• Provision of incentives by State adult education office to stimulate coordination at local level	• Georgia: Development of Certified Literate Community program
	• Oregon: Implementation of curriculum design project in which local program staff can participate
	• Michigan: Funding of core groups in local communities to provide mechanism for interagency coordination
• Provision of training and technical assistance by State adult education office	• New York: Sponsorship of training for local program managers on fiscal accountability to facilitate preparation of reports for ACCESS/CASSET initiative
	Development of case management curriculum
	• Georgia: Funding of staff development center to provide statewide training
	• California: Funding of training for implementing uniform assessment procedures in GAIN and JTPA programs

from the greater San Diego area that participated in a consortium consisting of adult schools, community college districts, social service agencies, and private industry councils that worked together to implement the State's welfare reform program. A standard interagency contract was formulated and agreed to by the member agencies before being customized to meet the needs of each agency. This contract was used by the county welfare office to transfer funds to consortium members that delivered educational services. Through the process of establishing consensus about the conditions of the contract, the consortium members worked through their differences and developed a working relationship that benefitted all members.

While interagency agreements are needed when there is a transfer of funds, they also are used to specify services that will be undertaken by agencies. For example, the Oregon Office of Community College Services established interagency agreements with the Economic Development Department concerning the delivery of staff training and the conduct of data analysis for the State adult basic skills assessment system. The Office also entered into an agreement with the Department of Corrections for providing literacy services in correctional institutions. This strategy also was used in California and Georgia for coordinating services.

A third type of agreement often used in the early development of inter-organizational relationships is a less formal "working agreement" that delineates the responsibilities of agencies engaged in joint activities, rather than specifying the conditions for transferring funds or exchanging staff and services. This type of agreement may be used as an interim measure prior to the creation of a formal contract. For example, Georgia's Department of Technical and Adult Education developed a Memorandum of Understanding (MOU) with the Department of Human Resources as a model for other agencies working on the Interagency Council for Adult Literacy. This MOU, which specified eight activities that agencies would undertake in the areas of State leadership and program development in literacy, was used to structure interagency activities while the conditions for a formal agreement were being negotiated by Council members.

Provision of Incentives. The States examined in the study used a variety of incentives to encourage coordination among local agencies and between local adult education programs and State adult education offices. In some cases, the incentive was a formal coordination mechanism such as State-sponsored programs designed to bring diverse groups together in local communities. The Georgia Certified Literate Community Program and Michigan's Core groups discussed in Section III are illustrative examples. One incentive used to promote relationships between the State adult education office and local programs was State sponsorship of program improvement activities. Local adult education staff was given

opportunities to participate in activities such as Oregon's curriculum design project, through which staff developed working relationships with its counterparts in other programs as well as with State staff. The involvement of local program staff in California's strategic plan Interim Steering Committee is another example of this type of incentive. These activities enhanced the quality of local program operations and provided State adult education staff with a field-based perspective on policies and program issues.

Provision of Training and Technical Assistance. State adult education offices also can facilitate interagency coordination by providing funding, training, and technical assistance to local programs. All of the State adult education offices examined sponsored some type of staff development activity that enhanced local program staff skills and the overall effectiveness of program operations. Welfare reform initiatives already underway in States focused attention on training and technical assistance in assessment, case management, and program evaluation. For example, Oregon and California sponsored training in student assessment that has become the standard for welfare reform programs. In New York, the delivery of case management services was the topic both of training workshops and a technical assistance publication. In Georgia, the new State agency embarked on a comprehensive staff development program to enhance the skills of all staff in delivering adult basic education services.

Interpersonal Communication Strategies

The development of agreements and the implementation of other activities for fostering coordination of State and local programs have been strategies that bring agencies together and facilitate their interaction. Interpersonal communication strategies are another type of activity used to enhance interorganizational relationships. Two categories of interpersonal communication observed were: (1) building upon existing interpersonal working relationships, and (2) creating mechanisms for ongoing communication and clarification of a group's goals and needs.

Strengthening Interpersonal Relationships. Many of the State agency and local program personnel involved in the initiatives had worked together for a number of years in previous programs or knew each other from professional activities. For example, the State agency personnel collaborating in New York and Oregon had longstanding relationships and had been involved in previous State initiatives. In California, New York, Michigan, and Oregon, local program staff were well acquainted and worked together through community activities. For example, local community college staff in Oregon had worked with representatives from other community agencies in PLUS task forces and were

well positioned to implement new initiatives, such as the New JOBS program and an Even Start demonstration program. The development of welfare reform and economic improvement programs provided opportunities for agency representatives to renew relationships or expand existing working arrangements.

With these relationships, agency representatives were able to focus their attention quickly on a new organizational goal--such as the provision of an integrated service delivery system--and devise processes for carrying out the goal. Individuals' knowledge of each other and experience working together helped them to verify their assumptions about each other's point of view and move ahead to set a course of action.

Communication Mechanisms. While the interpersonal networks of individuals helped the functioning of groups, other communication strategies were developed that did not depend on existing relationships among individuals. These included processes for carrying out interagency council or consortia meetings that involved clarification of members' expectations and goal verification. For example, the Advisory Committee at the Rensselaer-Columbia-Greene BOCES CASSET center in New York adopted a procedure whereby the expectations of members concerning the costs and benefits of participating in the CASSET initiative were confirmed regularly. When agency representatives felt that their expectations were not being met or that the goal of the group was shifting, a discussion was held to resolve the issue. The consortium in San Diego also used a similar procedure to keep the group in balance.

Another strategy used by State adult education offices to promote effective working relationships with local programs was to seek suggestions from representatives from the service provision system. In Oregon, each of the adult education directors from the 16 community colleges in the system met quarterly to discuss program issues. The size of the State program facilitated this, along with the State director's leadership style of involving field representatives in developing key State initiatives. In New York, California, and Michigan, the State adult education offices often convened meetings of service providers to preview initiatives or to seek their reactions to prospective policies or programs. Direct involvement of local programs in policy and initiative development permitted a more expedient and less problematic implementation of new programs and policies.

Resource Identification Strategies

A third strategy used to promote interagency coordination was the ongoing expansion of organizational participants in the various initiatives. In an effort to keep initiative activities visible and to expand resources for supporting these

activities, State and local program directors continually identified new segments of the community that could enhance program efforts. For example, the Sweetwater Union High School District adult education program extended its services by working collaboratively with the vocational education program in the district, which provided equipment and curriculum for expanding job training. By working with the district's office of Federal programs, the adult education program was well organized to compete for Federal and State grants, which provided varied sources of funding to support the adult education program.

Griffin Technical Institute in Georgia expanded its resources by developing a number of workplace literacy programs for local private sector organizations and public sector agencies. These activities both broadened the types of services provided by the adult education program and its visibility in the community.

On a State level, increasing attention has focused on involving business and industry in adult education initiatives. To facilitate this involvement, State adult education offices have developed special programs, such as the workplace initiatives in Oregon and Georgia. The State adult education office in Oregon has stimulated workplace initiatives through the local community colleges and supported these through State meetings and technical assistance. The involvement of business and industry in this State dates back to the beginning of the PLUS campaign and local task force development. In Georgia, the State has taken a facilitative approach by sponsoring the Certified Literate Community Program. Local adult education programs in the State have moved ahead to initiate contact as well as respond to requests from businesses to assist in developing workplace literacy programs.

Summary

State adult education offices and local programs have used a combination of organizational, communication, and resource expansion strategies to promote working relationships among agencies and to support goals of program improvement. The use of these strategies has been influenced by the structures of the organizations involved and by the leadership styles of State and local program directors. Given these variations, agency personnel have built upon their strengths and experience in tailoring the use of these strategies to meet their organizations' needs.

V. BENEFITS AND BARRIERS TO COORDINATION

The implementation of the State initiatives has had immediate effects on the operation of State and local adult education programs. These entities also have experienced some impediments in attempting to work with other agencies in fulfilling legislative mandates and gubernatorial directives.

This section of the report discusses the short-term benefits that have been realized as a result of the initiatives. Also described are the organizational and policy issues that have hindered State and local programs in working with other agencies.

Benefits to Coordination

The initiatives examined in the study have been implemented within the past four years and, therefore, are relatively new endeavors for effecting substantial change in organizational systems. However, in spite of this timeframe, the State adult education offices and local programs have realized a number of positive outcomes since the beginning of the initiatives' activities. These outcomes are the following:

- Enhanced political visibility for the State adult education offices and local adult education programs;
- The expansion of State and local agencies networks within their environments as well as between State and local programs; and
- More integrated delivery of education and support services to adult education clients.

Enhanced Political Visibility. One result of the gubernatorial-level initiatives in Michigan and Georgia has been increased visibility and access to other agencies for the State adult education office. In Michigan, the director of Adult Extended Learning Services was a member of the Program Administrators' Committee and, as such, met regularly with his counterparts from other State agencies. The director's participation on the committee provided him with an opportunity to establish new working relationships with agency representatives as well as to disseminate information about the State adult education program and

its relevance for job training. In Georgia, the separation of adult education from the State Department of Education and the designation of a new State agency with the title of Adult Education gave new prominence to the field. The establishment of an Interagency Council on Adult Literacy also provided an opportunity for the new Department of Technical and Adult Education to work collaboratively with other State agencies involved in basic skills education.

Coordination activities instituted by State offices also had an impact on the visibility of local adult education programs. For example, as a result of the reorganization of the service delivery areas for adult education in Georgia, Griffin Technical Institute became the literacy service delivery area for the region. This provided the adult education office with new office quarters as well as greater prominence in the community. One indicator of prominence was the increased interest by local businesses in working with the Technical Institute in developing workplace literacy programs. Griffin Technical Institute also was the first service provider to become a Certified Literate Community participant and its proposal became the model for other service providers in the State.

Michigan's establishment of Core Groups also enhanced the status of local adult education programs. The Kalamazoo Public Schools Adult Education program was the organizer for the Kalamazoo/St. Joseph Core Group and initiated contacts with other agencies to facilitate the establishment of the Core Group. The adult education program had a history of involvement with other agencies in the community through initiatives such as the Education for Employment Program. The Core Group work gave the program more opportunities for building interagency relationships. This Core Group was successful in establishing common definitions of terms and designing data forms to facilitate the delivery of services to clients--which was the intent of the State's Human Investment Fund initiative. The work of the Core Group in this area became a model for other Core Groups in the State. Griffin Technical Institute's work on the Certified Literate Community and Kalamazoo's Core Group efforts are examples of how the innovative work of local programs has helped to shape the direction of State initiatives.

Expansion of State and Local Networks. The interagency coordination requirements underlying the five initiatives facilitated the expansion of State and local agencies' networks within their environments as well as between States and local programs. In one way, the establishment of councils, consortia, and advisory committees gave legitimacy to adult education agencies' existing activities in developing new interorganizational relationships. For local programs that had never worked collaboratively in their communities, the initiatives provided both an opportunity and a mechanism for cross-agency communication. For example, the Certified Literate Community Program in Georgia provided an incentive for

local adult education programs to work with other agencies and organizations in creating a long-term plan to improve the literacy levels of community members. The State Adult Literacy office's promotion of workplace literacy also encouraged local adult education programs to further their efforts in program development.

One important result of this communication was the sharing of information about the operations of the various State and local human service delivery systems. For States such as Georgia and Michigan, the initiatives provided an opportunity for the adult education office to educate other agencies about the scope and functioning of adult education programs. More importantly, however, the cross-agency information exchange enabled adult education offices to develop a keener understanding of how their services might be coordinated with job training and human services systems.

Integrated Service Delivery in Local Adult Education Programs. One of the most important results of the initiatives thus far has been the expansion of the delivering of integrated services in local adult education programs. This expansion has occurred with regard to the following: (1) implementation of student assessment procedures, (2) enhancement of counseling and case management services, and (3) increased attention to program articulation.

Several factors have influenced local programs' implementation of student assessment procedures. The call for student assessment in the Adult Education State Plan, the requirements of the JOBS Program, and the general concern about program accountability have resulted in new and expanded attention to assessment. California's CASAS assessment system has been used by a number of States and has promoted the implementation of statewide assessment in many locations. For example, Oregon's BASIS assessment system was adapted from CASAS. Some States, such as New York, have given local programs flexibility in choosing their assessment systems but have strongly encouraged the implementation of such procedures.

The enhancement of counseling and case management services is due directly to the implementation of welfare reform programs. Because of the requirement for the provision of case management services in welfare reform programs, adult education programs have developed a new capacity to provide counseling services to their clients. Some programmatic procedures have helped to build this capacity. For example, the case managers from the county Department of Social Services that participate in the Sweetwater Union High School District GAIN program meet with their clients at the education site rather than in the welfare office. As a result, the case managers also have an opportunity to discuss client progress with the adult education instructional staff.

The Mid-Manhattan (New York) ACCESS center provides one week of life skills instruction to welfare clients before beginning the instructional program. This life skills component addresses issues such as clients' career aspirations, skills developed through prior work or life experiences, and barriers to participation in the program. The implementation of this component has helped to increase the retention rate of participant.

Another result of interagency contact at the local level has been an increasing awareness among adult education staff about the importance of program articulation. In most adult education programs across the country, a main concern is to meet only the clients' needs as identified by them. Little attention has been given to advancing the participation of adult basic education clients in further education or job training services. The contacts that adult education programs have established with other job and vocational training and support service agencies have expanded their knowledge of the services provided by these agencies as well as their vision of what might be possible for clients. For example, the Mid-Manhattan ACCESS Center has an active job recruitment process for clients that enhances their opportunities for job placement. Clients at the Rensselaer-Columbia-Greene BOCES CASSET center are frequently referred to job training and social service programs in the community. The goal here is to broaden the clients' awareness of what the community offers and how these services can be accessed.

In California, the GAIN program has required coordination of services both fiscally and programmatically. An example of fiscal coordination is the specification in the GAIN legislation that half of the JTPA 8% monies must be used to support services for GAIN clients. In terms of programmatic coordination, county welfare offices are required to work with local adult education service providers and job training agencies in arranging for services for GAIN clients.

Impediments to Coordination

Impediments to coordination have been amply discussed in recent studies of job training and education programs, and include incompatible data reporting systems and "turf" issues between agencies. The State offices and local programs examined in this study also have encountered similar problems, which typically occur when agencies in our country's human service delivery system attempt to work together. While these barriers to coordination have occurred, agency personnel also have been creative in developing solutions to the barriers.

Limitation of Federal Regulations and Data Reporting Systems. As States enter into agreements with other agencies for transferring funds, the problem of

incompatible data reporting systems must be addressed. The use of inconsistent categories for defining the client populations' ages, education levels, and types of services provided is an example of how the systems are not compatible. In States such as Michigan, the Core Groups began solving this problem by establishing common definitions of terms and data elements. However, the programs still had difficulty meeting the different Federal requirements for reporting data such as expenditures.

For States that have attempted to "pool" funding sources such as New York and California, local programs' tracking of expenditures from different funding sources has been a challenge. Mid-Manhattan's ACCESS center's implementation of a computerized management information system as part of the city's adult education program has facilitated this tracking. However, more systems are needed to address this problem.

A different issue related to Federal regulations is the difficulty agencies have had in interpreting legislation such as JOBS. State welfare agencies have varied in the extent to which they have provided fiscal support to education agencies for the delivery of adult education services to welfare clients. For example, a number of adult education programs do not receive additional funding from local welfare agencies to support the basic skills instruction of JOBS clients. The increase in the numbers of clients participating in adult education programs, which has resulted from the implementation of the JOBS Program, has made the variation in funding problematic for local adult education agencies.

Staff Changes in Agencies. While staff turnover in State and local agencies is to be expected, this turnover has impeded the progress of some of the initiatives. The clearest example was the halting of Michigan's Human Investment Fund initiative with the change in governors. While activities at the State level were held in abeyance, local Core Groups continued to meet and plan interagency activities. In other cases, changes in State agency staff have slowed activities and, sometimes, have required the reformulation of initiative components.

Emergence of "Turf" Issues. One barrier to interagency coordination revealed in the case studies was an apprehension on the part of agency representatives to work together. In some instances, this apprehension could be attributed to prior problems experienced by agencies in attempting to work together. For example, the establishment of a new State agency in Georgia made representatives from other agencies who were involved in the Interagency council initially hesitant to sign interagency agreements. As a result, an interim measure was taken in the establishment of a Memorandum of Understanding, which allowed agencies to work together before signing formal interagency agreements.

At the local level, adult education agencies have taken steps to build trust with other agencies to circumvent any "turf" issues that may arise. The Rensselaer-Columbia-Greene BOCES CASSET center established a regular procedure at its Advisory Council meetings for discussing agency expectations and outcomes for client referral and services. This procedure helped to redirect activities and resources and to build trust among Council members.

While "turf" issues among agencies are an expected element in any interagency coordination activity, steps can be taken to reduce these issues. For example, procedures can be established that allow agencies to work together initially to develop trust and understanding. An important aspect of building trust among agencies is to disseminate information so that agencies can learn about the services each offer and how these services can be complementary rather than competitive.

Summary. In encountering many of the impediments that are pervasive in the human services delivery system, the sites in this study have moved forward to deal with these issues as best as they can given their realm of control. Some impediments can be addressed through the establishments of procedures for building trust and an information base about agencies involved in coordination activities. Other barriers, such as incompatible data reporting systems, need to be addressed by Federal agencies.

VI. LESSONS LEARNED AND NEXT STEPS CONCERNING COORDINATION

The State and local interagency coordination activities examined in this study have illustrated a variety of strategies that can be used by policymakers and program operators to promote the delivery of integrated services in adult education, job training, and social services. These strategies have included the development of organizational structures, the use of interpersonal communication mechanisms, and the identification of resources for expanding services to clients. This section of the report discusses the lessons that have been learned from an analysis of these strategies. Also presented are possible options for Federal and State agencies to consider in undertaking activities to promote interagency coordination in adult education.

Lessons Learned

The Effect of Organizational Structures on Coordination. The five State sites investigated in the study were involved in different types of structural arrangements that were developed to promote interagency coordination. Two of these arrangements (Michigan's Opportunity System/Human Investment Fund and Georgia's Department of Technical and Adult Education) were large-scale initiatives in which the State adult education office was one of many agencies working together. In the other three arrangements, the State adult education office had an instrumental role in creating and carrying out the interagency activities that brought State-level agencies together through a new funding program (New York), a strategic planning process (California), and programmatic improvement efforts (Oregon).

These two main types of arrangements have had different effects on a State adult education office's interagency coordination activities. The large-scale initiatives, such as the Michigan Opportunity System, provided a new opportunity for the State adult education office to be recognized and work with other agencies. However, because of the scope of the initiative and numbers of parties involved, the implementation process proved to be very slow and did not result in specific interagency outcomes before the initiative was held in abeyance due to a change in governors. In the other types of arrangements, such as New York's integrated services funding program, the State adult education office was able to implement and expand its program as new funds were identified and service needs were clarified. For example, the emphasis on interagency coordination was included in the State's new procurement for vocational education.

The lessons regarding the use of structural arrangements from the perspective of a State adult education office suggest that participation in statewide initiatives can provide benefits for enhanced visibility with other State agencies and longer-term opportunities for coordination. Shorter-term payoffs from coordination activities are more likely when the adult education office either develops the initiatives or is one of the controlling offices responsible for implementing the initiative.

The Role of Leadership in Coordination. One characteristic of all of the State and local program representatives examined in the study was the strong leadership that they exhibited in undertaking the coordination strategies. This leadership has taken many forms. In the instances where State agency officials had worked together previously, they used the new initiatives to expand their relationships and develop interagency activities that were broader than the scope of previous activities. At both the State and local levels, the adult education representatives have been creative in identifying new ways to leverage fiscal resources and in developing new arrangements for organizations to collaborate in delivering services. One factor that has promoted this type of leadership has been these individuals' knowledge of the regulations regarding funding sources for adult education services as well as their familiarity with the range of services available in their communities.

Another form of leadership exhibited by State officials is their provision of opportunities for local program representatives to participate in special projects, such as Oregon's curriculum development activity and Georgia's Certified Literate Community Program. Through these special projects and through routinized communication with local program directors, the adult education State officials have exerted leadership and promoted coordination at the local level.

Technical Assistance and Coordination. As new funding programs have been created and new mandates for program accountability have been set, an important component of the implementation of these activities has been the technical assistance activities sponsored by State adult education offices. States have organized workshops and training sessions on topics such as student assessment, case management, and fiscal accountability. These topics are important for local program staff as they attempt to work with other agencies in providing integrated education, job training, and social services.

The Role of Negotiation in Coordination. Perhaps the most critical factor in the coordination strategies studied has been the capacities of State and local program representatives to negotiate with their counterparts in organizations. The process of identifying the mutual benefits to participants for entering into joint activities has been a feature of the strategies that are the most effective. Furthermore, the specification of the conditions of an arrangement through either formal or informal working agreements has facilitated the implementation of activities and provided a mechanism for the resolution of difficulties as they arise.

Strategies Applicable to Other State and Local Programs

While the focus of this study was on the adult education system, a number of the strategies identified for promoting interagency coordination also can be applied to other State agencies and programs desiring to work collaboratively. These strategies are:

- Role of Leadership in Fostering Interagency Coordination: State and local agency officials exhibited varied forms of leadership in their activities that were critical to the success of these activities. In the instances where State agency officials had worked together previously, they used new initiatives to expand their relationships and develop interagency activities that were broader than the scope of previous activities;

- The Provision of Technical Assistance to Support Coordination: A key activity that facilitated interagency coordination was the technical assistance that was provided by State adult education offices. Through the sponsorship of workshops and training sessions on topics relevant to local programs, such as student assessment, case management, and fiscal accountability, local adult education staff were able to enhance their skills and knowledge for providing integrated services and working collaboratively with other agency staff; and

- Role of Negotiation: The capacity of State agency officials and local program staff to negotiate with their counterparts in organizations was an important factor in the efforts examined. The process of identifying mutual benefits to participants for entering into joint activities was a key feature of the strategies studied. In addition, the specification of the conditions of an arrangement through either formal or informal working agreements facilitated the implementation of activities and provided a mechanism for agency and program personnel to use in resolving differences.

Options for Improvement for Federal and State Agencies

Several actions can be taken at the Federal level to enhance the capacity of State agency officials to develop and carry out interagency coordination activities. These activities are the following:

- Continue to address the need for common definitions, outcome measures, and data reporting systems for adult education and job training services. For example, the Federal requirements for reporting client progress in basic skills could be revised so that these are similar data element requirements across Federal programs supporting basic skills education;

- Provide technical assistance and training services to State adult education, job training, and social service agency representatives in negotiation and other activities for carrying out interagency coordination. For the adult education system, consideration might be given to the establishment of a peer assistance network among the State adult education directors so they can share their strategies in implementing programs or activities that have fostered collaboration;

- Continue activities to provide State adult education office staff with information about methods for "pooling resources" and establishing demonstration programs to experiment with models for integrated service delivery. This technical assistance could include data about current activities undertaken by State adult education programs to coordinate funding and services under the JOBS program; and

- Develop and disseminate information regarding effective practice in interagency coordination, particularly as these practices begin to have an impact on client outcomes.

In addition to Federal-level efforts to facilitate coordination, State adult education officials have an important role in promoting coordination among local programs. The following activities might be considered:

- Develop incentives through the adult education State Plan as well as through special projects to encourage local programs to work collaboratively in providing services;
- Provide training and technical assistance activities for local program staff so that they can learn about strategies for working with other agencies, particularly in the areas of workplace literacy, family literacy, and other opportunity areas for collaboration; and
- Disseminate information regarding successful practices in coordination and develop peer assistance networks that can be used by local program staff.

Final Thoughts

The State and local interagency coordination activities described in this study are illustrative of the efforts being carried out by adult education agencies as they attempt to work with job training, social services, and other human service organizations in addressing the needs of economically and educationally disadvantaged adults in our country. While the sites in the study did not implement every strategy identified as effective for promoting coordination, each site was strong in a number of the dimensions examined. Because of the approaches the agencies have taken in building linkages, developing leadership, and formulating practices to improve the delivery of integrated services, each agency's activities have contributed to our understanding of the complex process of interagency coordination. As these approaches become refined and are implemented by a broad spectrum of organizations and agencies, further study is needed to determine the ultimate outcomes of coordination on the improvement of clients' education and economic well-being.

PART B: CASE STUDIES

I. GEORGIA

A. State-Level Activities

Overview

The State of Georgia has established a Department of Technical and Adult Education (DTAE) to coordinate the delivery of education services to adults. The legislature created DTAE in 1986 by amending the name and responsibilities of the State Board of Postsecondary Vocational Education to establish the new department. Through this action, the State sent a public signal that the provision of adult education is a priority item on its educational agenda.

An Office of Adult Literacy was formed as a unit within DTAE in July 1988. This Office oversees the provision of education services to out-of-school adults, age 16 and older. The State legislature provided authority to the Office of Adult Literacy to implement a statewide system of local literacy service delivery agencies and gave the Office control over funds from several sources. The legislature also granted jurisdiction to DTAE over adult education program standards, program evaluation, and staff certification and training.

An Interagency Council on Adult Literacy was created later to help develop strategies; increase awareness; share expertise and resources; and serve as a clearinghouse for ideas. The Council spearheads the coordination effort of all the State agencies that offer or sponsor education services, including the following:

- Governor's office;
- Department of Education;
- Department of Human Resources;
- Department of Labor;
- Department of Corrections;
- Board of Regents;
- Georgia Public Telecommunications Commission; and
- Georgia Public Library system.

These agencies have come together in an "umbrella" structure to symbolize the equality of the segments and the broad authority of the Council.

This case study describes the structural arrangements that have been developed to support a new State agency and the activities that are underway to advance interagency coordination at State and local levels. Also presented is a profile of the coordination activities undertaken by one local literacy service delivery area.

Background of the Initiative

The former governor of Georgia was eager to create an environment that would attract new business to the State and enhance its economic viability. As a first step, he established the Governor's Growth Strategies Commission in 1987 to analyze the State's resources and their potential for facilitating economic development. A major finding of this Commission was that the development of an "education culture in the State" was key to future development.

To highlight the importance of adult education and strengthen its credibility with employers, the governor took the following two steps: (1) he removed responsibility for adult education from the State Department of Education, and (2) he placed all adult education programs under the aegis of the Board for Postsecondary Vocation Education, which had a working relationship with businesses in the State. The Board was then renamed the "Department of Technical and Adult Education." A commissioner was appointed to direct DTAE and it was given status equal to the Department of Education.

The governor also convened the Governor's Task Force on Adult Literacy to assess the magnitude of the illiteracy problem in the State. The Task Force published a report in 1988, which emphasized the need to address literacy problems within the State when it revealed that 1.4 million people in Georgia were reading below the ninth grade level. As a result of these findings, the governor recommended that a free-standing office of literacy be established; however, the legislature chose to create an Office of Adult Literacy within the Department of Technical and Adult Education. The Office was created in July 1988 with authority over all literacy programs in the State and control of all literacy dollars under an Assistant Commissioner for Adult Literacy Programs. The governor, following Federal recommendations, appointed a 15-member Georgia Council on Adult Literacy to provide guidance and assistance to the Office of Adult Literacy Programs. The Council is chaired by the former Chancellor of the University System of Georgia.

Organizational Goals

Office of Adult Literacy. The Office of Adult Literacy was created to reduce the number of adults in need of literacy services by establishing coordinated adult literacy programs through a statewide system of local literacy service delivery areas (SDAs). Adults who were in need of education and related services could receive these services through the system of SDAs. Another goal of the Office was to improve the quality of adult education by setting standards at the State level and encouraging program coordination at the local level.

The goals of the Office for Adult Literacy reflect a broad mandate--to eliminate duplication of adult education services and improve client outcomes. Specifically, the Office was created to perform the following activities: identify and recruit the population of adults in need of education services; coordinate adult education program delivery at the local level; develop adult education program standards; provide staff development for literacy personnel; and implement a statewide student assessment system.

Interagency Council. The concept underlying the creation of the Interagency Council was that each of the agencies represented on the Council has a client population whose needs include education. The expectation was that education services would be provided to these clients through the literacy service delivery areas, under the supervision of the Office of Adult Literacy. Member agencies of the Council and their respective client groups are the following:

- The Department of Corrections--inmates in institutions peripheral to the State prison system, such as halfway houses and "boot camps";
- The Department of Human Resources (DHR)--clients in aging and rehabilitation institutions, homeless clients, and Positive Employment and Community Health (PEACH) clients;
- The Division of Family and Children's Services in DHR--State Legalization Impact Grants (SLIAG) clients;
- The Department of Labor, through the Job Training Partnership Act--clients of the older worker program; and

- The Department of Education--at-risk students who are in school settings but not in the educational mainstream, such as children in homeless shelters.

Interagency Agreements and Negotiations

Each of the agencies involved in the Interagency Council established formal, written interagency agreements with the Office of Adult Literacy--the traditional way of exchanging services between State agencies. These agreements are in the form of a Memorandum of Understanding (MOU) with DTAE. The MOUs specify the points of interagency contact; the staff who will be involved; and the services to be exchanged. As an example, the Memorandum of Understanding with the Department of Human Resources specifies the following eight interagency activities:

- Provide statewide leadership in DHR/DTAE planning efforts;
- Serve on the Interagency Council on Adult Literacy;
- Identify division and office staff to serve on a DHR literacy work team, whose major responsibility is sharing information with offices within DHR;
- Work with DTAE to identify, develop, and implement projects and programs for special populations (e.g., homeless);
- Promote accessibility to community DTAE programs and activities for DHR clients with special needs (e.g., architectural modifications to meet the needs of clients with physical handicaps and programmatic modifications to meet the needs of clients with mental handicaps);
- Participate in and share staff development and training opportunities with DHR and DTAE staff;
- Provide, to the extent available, necessary support services (such as transportation and/or child care) to

enhance DHR clients' participation in and completion of DTAE programs; and

- Develop a public relations plan to market DHR activities in literacy.

Framework for a Coordinated System

The Office of Adult Literacy oversees literacy services in the State through its system of 36 SDAs, which were designated on the basis of a competitive proposal process. These SDAs cover all 159 counties in Georgia, and are similar but not identical to the service delivery areas of other agencies within State government. The SDAs are the local arms of the Department of Technical and Adult Education (previously, there were 89 such areas) and are comprised of 25 postsecondary technical institutes, 10 school districts, and one public college. As a first step toward local coordination, the SDAs were required to establish local advisory committees, consisting of representatives from business, industry, education, and economic development groups. One intent of the local advisory committee was to create public awareness about the importance of literacy education in the community.

The Office of Adult Literacy is supported primarily by the Federal Adult Education Act (AEA) and State funds. In 1989, the allocation of AEA funds was $2,687,917, which was augmented by an appropriation of approximately $3,500,000 in State funds. In addition, State agencies have entered into various arrangements to reimburse the provision of education services to their client groups. For example, in 1989, the Department of Human Services transferred $1,745,500 to the Office of Adult Literacy as reimbursement for literacy services to State Legalization Impact Assistance Grants (SLIAG) clients. With most other populations, such as clients served by the State's welfare reform program (PEACH), the reimbursement arrangement takes place at the local level, based on student contact hours.

Agency Administration and Oversight

A number of administrative and staff changes have occurred as a result of the creation of new organizational structures for adult education in the State. The elevation of adult education to departmental status was the first major change in program administration at the State level. Some of the DTAE staff are

professionals who transferred from adult education positions in the Department of Education. A new commissioner position also was created to direct the agency.

The creation of the Office of Adult Literacy was the second administrative change. It also is staffed by education professionals and led by an assistant commissioner who was appointed by the governor.

The third administrative structure that was established, the Georgia Council on Adult Literacy, is appointed by the governor to oversee the progress of adult literacy activities through DTAE and the Interagency Council and reports directly to the governor's office. The Georgia Council on Adult Literacy is comprised of representatives from education, business, religious organizations, the media, and State agencies.

Supports for Local Coordination

The Department of Technical and Adult Education has worked to implement a State-level system of interagency coordination and establish an organizational structure for delivering adult education services at the local level. DTAE also has set goals for local literacy programs to achieve in serving their clients, such as increasing the number of students who obtain a General Educational Development (GED) diploma by five percent a year and improving student achievement as measured by the movement of students to higher educational levels--also at the rate of five percent a year.

In addition to setting goals for local literacy programs, DTAE has encouraged increased coordination between local literacy programs and the private sector through the promotion of workplace literacy collaborations and the establishment of a Certified Literate Community initiative--a program that challenges local communities to achieve 100 percent literacy. During 1989-1990, five pilot sites were established in the Certified Literate Community program. DTAE selected pilot sites through a competitive proposal process, based on the following criteria: an ability to obtain broad community support; the development of systematic approaches to reaching the goal; the specification of strategies for fundraising; and the development of plans for involving the business sector. While DTAE provided extensive public relations about the initiative, limited financial support was given to the pilot sites.

DTAE also has encouraged the establishment of workplace literacy programs in local communities. As of 1990, workplace literacy programs were being implemented in 76 locations across the State. These programs are

supported by businesses and receive technical assistance but not funding from DTAE.

Evaluation and Technical Assistance

The legislature assigned DTAE responsibility for evaluating literacy programs in the State. A major component of the program evaluation design was the Adult Literacy Standards Project, a study undertaken by Georgia State University for DTAE to develop standards for public and private adult literacy programs in the State of Georgia. The outcome of this study was a framework for DTAE's program evaluation activities. The 12 areas covered by the standards are: philosophy, staffing, curriculum, methodology, student services, student assessment, program planning and evaluation, community relations, administration, equity statement, facilities, and financial resources. In each area, the standards specify the objectives that local programs are expected to achieve. The Office of Adult Literacy staff conduct on-site evaluations based on the standards and make recommendations for improving areas of deficit.

Along with the development of program standards has been an effort to improve the capacity of local program staff. In January 1990, DTAE instituted a competency-based staff development program for adult literacy program personnel, which requires that personnel participate in the program and demonstrate the specified competencies. The Office of Adult Literacy contracted with the University of Georgia to implement the program, which has the following components:

- Summer (Residential) Leadership Institute for Administrators;
- Staff Development for Instructional Personnel (teachers, paraprofessionals, and volunteers); and
- Professional growth activities offered as regional workshops throughout the year based on needs assessments by instructors.

Special Features of the Initiative

The Georgia initiative illustrates one organizational model for providing coordinated services in adult education. Its developers at the State level created structures that contributed to this model--a State agency (DTAE), an Interagency Council, a governor-appointed Council on Adult Literacy, and local advisory committees. The strength of this approach may be seen as a combination of strong central authority over administration and service delivery through DTAE and decentralized recommendations on policy, goals, and program strategies.

Three of the important components that appear to have enhanced DTAE's capacity for effectiveness are the following:

- The centralization of program initiatives that can be implemented appropriately on a statewide basis, such as staff development, program standards, evaluation, technical assistance, and statewide student assessment;
- The formalization of cooperation among State agencies through specific interagency agreements; and
- An organized system of service delivery through the literacy service delivery areas.

The work of DTAE has been supported by the Interagency Council, which maintains the independence of the agencies involved, gives them equal voice in developing programs, and specifies the extent of cooperation that is expected through interagency agreements. Thus, agencies are able to come together as a body to oversee the growth and development of adult literacy programs in Georgia without compromising their independence.

Finally, the reorganization of literacy services in Georgia has had positive outcomes at the local level. The new system has reduced the number of service providers but increased the services that are available, such that during the period from July 1989 to June 1990, student contact hours in literacy programs increased by 15.8 percent over the previous year. This arrangement of services also has permitted more equitable access to adult education for clients such as those participating in the State's welfare reform program. The service delivery structure as well as DTAE's special initiatives, such as the Certified Literate Community Program, have broadened the visibility and resource base for adult literacy in Georgia.

B. Local-Level Activities

Griffin Technical Institute's Adult Education Program

Griffin Technical Institute (GTI), a postsecondary Technical Institute, is one of 36 local literacy service delivery areas funded by the Georgia State Department of Technical and Adult Education. Located in the town of Griffin, GTI is the administrative base for the literacy SDA that serves the following six counties: Butts, Fayette, Jasper, Lamar, Pike, and Spalding. Each county offers an adult education program, providing literacy, adult basic education, and GED preparation classes. In addition, English-as-a-second-language (ESL) classes are offered in Fayette.

Griffin Technical Institute's adult education program serves Spalding County, whose low school retention rate and changing economic base require ongoing upgrading and retooling of the skills of its population. To meet these needs, GTI offers an array of programs including literacy and adult basic education classes, workplace literacy, family literacy, and adult secondary education. GTI also provides technical education and a series on television, entitled "GED on TV."

The delivery of adult education services in the County changed significantly when GTI became a literacy service delivery area. Historically, adult education programs had been offered in dispersed locations throughout the county. The designation of GTI as the SDA resulted in the centralization of services in one location--a technical institute--that had prestige in the community. This structure provided new visibility for the adult education program and increased opportunities for GTI to work with agencies and organizations in collaborative educational programs.

Coordination Activities

As part of its goal to offer a comprehensive adult education program, Griffin Technical Institute has become involved in a number of interagency coordination activities. One effort, GTI's participation in the Certified Literate Community Program, was in response to an initiative developed by the Department of Technical and Adult Education. Other coordination activities have resulted, in part, from the increased prominence of the adult education program in the community. These activities included implementing workplace literacy programs with local private industries and public agencies and collaborating with the county's

Department of Human Services in providing adult education services to PEACH participants.

Certified Literate Community Program. The Certified Literate Community Program is a DTAE initiative that calls for members of a community to work together to increase the literacy level of its adult population. In this initiative, DTAE challenged communities to establish an organized community group, representative of all sectors of the community, which would coalesce support and develop a plan for providing services and resources to improve the status of literacy. Communities were invited to submit plans to DTAE describing how this challenge would be met.

The Griffin Technical Institute prepared a proposal to become a pilot site for the Certified Literate Community Program. In writing this document, GTI represented the Griffin-Spalding Literate Community Commission that was established to meet the criteria set by DTAE for Certified Literate Community participants. The proposal was accepted by DTAE and the Program, which serves the Spalding County, became the first Certified Literate Community participant in the State.

The Griffin-Spalding Literate Community Commission consists of 23 members from major sectors of the community. Prior to the selection of the Commission members, a steering committee was appointed to begin program implementation. This committee initiated program activities and was responsible for nominating community leaders to serve on the Commission. The Commission is organized and served by a chairman, vice-chairman, treasurer, and six standing committee chairpersons. The duties and responsibilities of these officers and the Commission are outlined in by-laws, which were established by the Commission. The Certified Literate Community Program also is served by a full-time executive coordinator provided by Griffin Technical Institute.

The Commission holds bi-monthly meetings to plan activities. Standing committees meet on a regular basis to develop plans and activities that are presented to the full Commission. The six standing committees are: recruitment, finance, facilities, interagency, special projects, and public relations. Standing Committees also include representatives from the community to assist in the implementation of activities.

The Program established plans to meet a ten-year goal of having a fully literate community. These plans are evaluated regularly and updated to meet the changing needs of the community. In the near-term, it is hoped that the

Program's activities will result in a reduction in the number of adults requiring literacy services. Also expected is a decrease in the number of school dropouts, as efforts are made to upgrade the overall quality of education services in the community.

Workplace Literacy Activities. Griffin Technical Institute has worked with local industries and public agencies to establish workplace literacy programs. These efforts have included collaborations with Dundee Mills, Thomaston Mills, and the City of Griffin. An illustrative example of these efforts is GTI's workplace literacy program with Dundee Mills's Renewal Education Program.

When Dundee Mills began its automation process in the late 1980s, the Mill's management realized that the skills of its employees were not adequate to meet the demands of an automated workplace. Furthermore, the community's low school retention rate suggested that there was not an adequate population of skilled workers who could replace existing employees. Given these conditions, Dundee Mills decided to invest in the training of its workers through its Renewal Education Program.

Representatives from the Mill approached GTI with a request and funding to develop a workplace literacy program for its employees. GTI responded by providing GED preparation and basic skills classes. During the program's first year, 315 employees participated in the program. Participants raised their reading and mathematics skill levels as indicated by the results of pre-testing and post-testing with the Test of Adult Basic Education. There was an average grade level increase of 2.7 in reading and 3.2 in mathematics after 50 hours of instruction. In addition, 15 percent of the participants received their GED certificates.

Coordination with the Departments of Human Services and Labor. As the local provider of adult education services in Spalding County, Griffin Technical Institute serves clients referred by the county's Department of Human Services, Division of Family and Children's Services (DFACS) and the Department of Labor (DOL). For example, DFACS's implementation of the State's welfare reform program, PEACH, has increased attendance in GTI's GED preparation and basic skills classes. PEACH participants under the age of 24 who do not have a high school diploma are required to enroll in GED preparation classes sponsored by GTI. DFACS reimburses GTI for participant costs.

To meet PEACH's weekly time requirement for classes, GTI's adult education staff enhanced the basic skills curriculum to include an additional hour of instruction each day. In a coordinated effort, GTI, DFACS, and DOL all contributed funds to support the additional time required for an instructor. The

impetus for the coordination was these agencies' recognition that they are serving the same client population, and that fiscal and programmatic collaboration is necessary to ensure that clients' education needs can be met.

State Policy--Local Implementation

The Department of Technical and Adult Education's promotion of literacy as a priority in the State is evidenced in the results that have been achieved by GTI's adult education program. Also apparent is the success of GTI's efforts to expand its client base and to work collaboratively with the community's private and public sector organizations.

One outcome from these efforts has been an increase in adult education clients. As of November 1990, 1,032 students had participated in GTI's adult education program for that year. Prior to the designation of GTI as the literacy service delivery area, the yearly average number of students attending adult education classes in Griffin was approximately 100.

GTI's initiative in preparing the proposal for the Certified Literate Community Program was successful in bringing together sectors of the community who previously had not worked together to address the issue of literacy. This process also created a foundation for GTI staff to work with community agencies and organizations in other efforts, such as the development of workplace literacy programs. Finally, the multi-agency collaboration in implementing the education services component of PEACH has strengthened relationships among these groups and resulted in the delivery of more comprehensive services to clients.

LIST OF PERSONS INTERVIEWED

State Level

Jean DeVard-Kemp
Assistant Commissioner
Office of Adult Literacy

Alvin Anderson
Director, Assessment, Evaluation,
and GED Administrator
Office of Adult Literacy

Thomas Morris
Program Manager
Office of Adult Literacy
(telephone interview)

Mary Newberg
Office of Adult Literacy

Robert Wofford
Office of Adult Literacy

David Davidson
Department of Education

Jack Fair
Department of Corrections

Elizabeth Kinne
Department of Human Resources

Donna Martin
Department of Human Resources

JoEllen Ostendorf
Division of Public Library Services

James Reap
Department of Labor

Local Level

Larry Dunn
Director
Adult and Developmental Studies,
Griffin Technical Institute

Janice Robertson
Director
Certified Literate Community Program

Clarence DuBois
Coordinator
Family Literacy Program

Wayne Brown
Coordinator
Dundee Mills, Renewal Education Program

Griffin-Spalding Certified Community Literacy
Commission members

II. MICHIGAN

A. State-Level Activities

Overview

Michigan's statewide initiative for coordinating adult education and training services, the Michigan Opportunity System, was created to provide adults in the State with the capacity to develop the skills necessary to obtain employment. Central to the system was the development of a process for assessing the employability and literacy skills of adults and for providing adult education programs. Additional services that were envisioned included job training, job placement assistance, screening for financial aid, and a variety of support services. The goal was to have a system of services that could be accessed through the Michigan Opportunity Card, which would resemble a credit card and could be used in computers at locations in communities across the State. The intent was to have a Card that every Michigan resident could use in searching for a new job, considering a career change, or seeking further education or training.

The Michigan Opportunity System together with its supervisory board (the Michigan Human Investment Fund) and its operations arm (the Human Investment Fund Office--HIFO) were formally dissolved by the State's new governor in January 1991. However, some critical elements that were instituted through this initiative are still in place to support the coordination of adult education and training services at the local level. This case study describes the elements of the Michigan Opportunity System that relate to interagency coordination. Also presented is a profile of a local Core Group that was established as part of the State's initiative.

Background of the Initiative

The impetus for the Michigan system originated in the governor's office in 1986. Concerned over unemployment in the State and a changing job market that required greater technical skills, the governor established several task forces to examine issues related to improving the employment situation in the State and identifying the needs of the workforce. The reports from these task forces indicated a need for the management of human investment programs and resources in a systematic way, with a particular emphasis in the areas of adult education and job training.

In 1988, the governor asked his Cabinet Council on Human Investment to form an Adult Literacy Task Force to examine issues related to adult training and education and to develop a plan to improve the skills of Michigan's workforce. The Task Force's report presented a framework for a new system of training and education that would have the following characteristics:

- Be customer-driven and customer sensitive;
- Emphasize shared responsibility of the stakeholders;
- Empower individuals to invest in themselves;
- Be user-friendly; and
- Be accountable.

This set of recommendations was the stimulant for the major initiative that the governor announced during his State of the State address in 1988. As part of his televised address, the governor showed a prototype of an encoded, computer chip card--which he called the Michigan Opportunity Card. At the time, the Michigan Opportunity System, which the card was to access, was not yet developed. However, in the same address, the Governor reported the formation of the Human Investment Fund that would be a joint venture of all the State-level agencies that provided employment-related skills and assistance to Michigan residents. The responsibility of the Human Investment Fund was to ensure that a system would come into being that would fulfill the mission the governor had set for a coordinated service system.

The Human Investment Fund was created through an Executive Order issued by the governor in March 1988. The Executive Order charged the Fund with developing an efficient, user-friendly, computerized system that would be demand-driven, outcome-measured, and performance-funded. The major requirements for the Fund specified in the Executive Order were the following:

- The Fund would be a joint venture of all the State level agencies that provided employment-related skills and assistance to State residents;

- The Fund would be governed by a Board of Directors appointed by the governor and would report directly to him; and

- The Fund would be managed by a staff, appointed by and reporting directly to the governor. This staff would be based in the Department of Management and Budget.

The task of the Human Investment Fund was to organize the 70 job training and education programs in the State into an integrated network, called the Michigan Opportunity System, which would be supervised by the Board and accessed by the Michigan Opportunity Card.

Structure and Organization of the Initiative

The administration of the Human Investment Fund was carried out through HIFO. Two advisory committees were established to provide information to HIFO: (1) a Policy Advisory Committee, comprised of the commissioners of State departments, and (2) a Program Administrators' Committee, consisting of State program directors. The expectation was that the Policy Advisory Committee would develop broad policy objectives and the Program Administrators' Committee would devise the systems to implement these objectives. The Policy Advisory Committee included representatives from organized labor, the governor's office, the Departments of Social Services, Employment Security, Education, and Labor, and the academic community--as well as one representative from a local school district. This Committee met about five times a year with HIFO staff and representatives from the governor's office.

The Administrators' Committee included the State Director of Adult Extended Learning Services, along with representatives from the Department of Social Services, the Governor's Office for Job Training, the Department of Labor, and the Department of Rehabilitation Services and Vocational Education. This Committee met twice a month in working sessions.

The Human Investment Fund had a Board of Directors, which reported directly to the governor. The mission of the Human Investment Fund Board and the two committees was to undertake the following:

- Develop policy strategies to meet the goal of delivering integrated services;
- Develop standards for assessing programs in terms of quality and cost; and
- Advise on implementing the Michigan Opportunity Card.

The Board succeeded in meeting the first objective by developing a policy strategy as the vehicle for planning integrated services at the local level. It solved major definitional issues as a step toward developing program standards, and it authorized a prototype program for testing the Michigan Opportunity Card through two special programs in the community college system. Linkages with the private sector were sought but not established by the time the system was dissolved.

Implementation of the Initiative

The Human Investment Fund Office was established as the operational arm of the Human Investment Fund. The office employed about 25 people, using staff from the State Department of Labor along with gubernatorial appointees from outside of State government. HIFO received direct State support from the legislature, which appropriated $1.5 million dollars for Fiscal Year 1989, and about $5.5 million in 1990.

HIFO's mission was to develop the Michigan Opportunity System. HIFO began by attempting to identify common data elements across both State and local programs, arrive at common definitions, and develop standardized data collection processes for completing assessment and evaluations forms. HIFO also was involved in developing a computerized system that would allow clients to access services by using the Michigan Opportunity Card.

Progress on these activities was slower than was anticipated. In preparation for the Michigan Opportunity System to become operational, many local agencies maintained two sets of records--one for their own needs and one to enter into the computerized system when it was ready. The maintenance of two sets of records was perceived by local providers to be burdensome. The delay in progress on the system was due to two primary factors: (1) an underestimation of the amount of time and difficulty that it would take to arrive at common definitions and data

elements, and (2) an underestimation of how complex the process would be for developing the computerized system for the Opportunity Card.

The major area in which progress was made at the State level was on the development of definitions for the key terms used across agencies. Examples of the terms are "intake assessment" and "full-time equivalent." The development of these definitions was the first step toward creating an integrated system for managing data across agencies by using common forms and common data elements for core services. The core services addressed included: eligibility screening, assessment, basic skills instruction, employability planning, training, and social services support. It was envisioned that information could be entered into the Michigan Opportunity System by any agency and could be accessed by a client's Michigan Opportunity Card, which would guarantee the delivery of appropriate and unduplicated services by local agencies.

The system never reached the point of having data, but there were advantages to Committee members for participating in the system-development meetings--especially for program administrators. While commissioners--the policy-level participants--had a history of cross-agency contact, it was a new phenomenon at the departmental level. For example, participation in the Program Administrators' Committee provided the Director of the Adult Extended Learning Services Division with the opportunity to disseminate information about adult education programs to other members of the Committee and to establish new working relationships with representatives from other State agencies.

The building of these relationships also resulted in the establishment of a number of interagency and intra-agency agreements. The Department of Education developed agreements with the Department of Corrections and the Department of Social Services. Within the Department of Education, there were agreements between the Adult Extended Learning Services Division and the Divisions of Vocational Education and Special Education that focused on the provision of services to adult learners.

Outcomes Regarding Local Services and Linkages

The mechanism chosen by HIFO to carry out coordination activities at the local level was the establishment of 25 Core Groups across the State. These were established by the "memo of October eighth," which was sent out by HIFO to all local agencies represented on the Board, and was signed by both the policy advisors and the program administrators. The agencies contacted included local representatives from all of the agencies that were mandated to participate.

including the following: secondary education, postsecondary education, adult education, organized labor, private employers, the Department of Social Services, the Employment Security Commission, Private Industry Councils, Community Growth Alliances, and community-based organizations.

The memo mandated the creation of Core Groups that would take the lead in coordinating services at the local level. It specified the agencies that should be represented, but provided little guidance. Rather, the strategy was to allow the local community to formulate the appropriate boundaries and structure of the Core Group. Purposely, the memo did not do the following:

- Define the size of the geographic service area;
- Name the leader or convener for the Core Group; or
- Define the goals of the Core Group.

This lack of prescriptiveness was intended to encourage the local Core Group to develop its membership and leadership structure. The general pattern that emerged was that Job Training Partnership Act (JTPA) Service Delivery Areas (SDA) became the service area, although Detroit combined three SDAs into one group and also devised a rotating chairmanship.

HIFO asked the Core Groups to submit Core Group Plans that addressed the ways in which they would build a local service network to deliver integrated services. They were asked to develop common forms and identify common data elements. HIFO reviewed the plans and made suggestions. While State agencies provided technical assistance on specific questions, they did not intervene (at the request of HIFO) in Core Group formation activities, so that the local policy-makers could design their own set of activities and measurable outcomes.

On the merit of their Core Group plans, HIFO designated five demonstration sites for the Michigan Opportunity System and funded the sites with grants of $30,000. Of these, four became dysfunctional because of the termination of funding; the fifth site, the Kalamazoo/St. Joseph Core Group, continued to carry out its plan. The demonstration sites were to develop specific components of the Michigan Opportunity System as prototypes, in order to assess the strengths and weaknesses of the components before they were implemented across the system. For example, the Kalamazoo/St. Joseph Core Group was funded to explore service integration by developing and using common forms and processes.

The Community College system was to test the technology of the Michigan Opportunity Card.

Facilitating Factors and Barriers

The governor's personal involvement in the Michigan Opportunity System provided great support for coordination activities while he was in office. However, the Michigan Opportunity System, particularly the Opportunity Card, became a major campaign issue in 1990 and the System was dissolved with the change in administration. The governor's interest in the system contributed significantly to its success in garnering State resources and attracting favorable publicity. Within the Policy Advisory and Program Administrators' Committees, there was widespread support for the system that provided additional impetus. In particular, the agencies' representatives saw the benefits of coordination as a way of reducing administrative duplication and thus decreasing costs. However, even within the State government, the system was not universally supported beyond the membership of these groups. The emphasis on a common, statewide computer system to store information from many agencies led to concerns about the confidentiality of client records. Levels of access to data stored on the computer and the restrictions that might be put on personnel at different agencies were discussed and never resolved.

Another technological innovation that was part of the system was the computerized Michigan Opportunity Directory, located in kiosks (similar to automated teller machines) around the State. About 35 of these directories became operational and provided customized printouts of services available in the areas of education, training, and employment. The Directories were found to be unwieldy in that they listed all of the services available and made no differentiation between entities (e.g., between a JTPA program and a small proprietary school), and the listing did not address eligibility criteria for services. Clients might receive a long list of agencies and find, after calling them, that they were not eligible for services from any of the agencies. Local service providers found the kiosk system to be overly complex.

Lessons and Expectations

One lesson from Michigan's initiative is the need for such initiatives to become established independent of their political champions. HIFO was not able to become institutionalized in the State's bureaucracy in part because of a lack of broader support beyond its status as a gubernatorial initiative. Another lesson is

that the early steps in establishing coordinated services are time-consuming and virtually invisible. However, the importance of such activities should not be underestimated. The agreement on key definitions and common data elements that took place through the Human Investment Fund marked progress on building understanding and trust among agencies that led to the interagency agreements that are now being implemented.

B. Local-Level Activities

Introduction

The Kalamazoo/St. Joseph Core Group is one of five Core Groups that was selected by the Human Investment Fund Office to serve as a demonstration site for the Michigan Opportunity System. The goal of this Core Group was to bring together representatives from adult, vocational, postsecondary, and special education programs, rehabilitation services, job training programs, labor organizations, human services and mental health agencies, and economic development programs to promote the delivery of integrated services and develop processes that can be used in implementing such a system. These processes have included the development of common client intake forms and a data management system for use by all agencies in providing education, job training, and support services to clients.

The Kalamazoo Public Schools (KPS) Adult and Community Education Program, in collaboration with 37 local agencies, submitted a proposal to HIFO to become a Core Group. The proposal was accepted and the Kalamazoo Adult High School was designated as the administrative base for the Core Group.

As the main provider of adult education services in Kalamazoo County, the Kalamazoo Adult Education Program administers 15 service delivery sites. Three types of programs are offered for adults: (1) adult basic education, including literacy, basic skills, and English-as-a-second-language (ESL) instruction, (2) adult secondary education, including General Educational Development (GED) preparation and high school diploma classes, and (3) community education activities, including classes, workshops, and field trips on topics such as the use of leisure time, self-improvement, and recreational activities. The Kalamazoo Adult Education Program staff has been instrumental in organizing the activities undertaken by Core Group members and in providing leadership to the Group.

Background to Interagency Collaboration

Education, vocational training, and social service agencies in Kalamazoo County had collaborated on a number of efforts prior to the establishment of the Group initiative. These efforts were aimed at increasing the population of skilled entry-level workers and the quality of the education system in the area. For example, the KPS Adult Education Program worked with members of the Kalamazoo County Adult Education Coalition in 1986 to form the Literacy Network of Kalamazoo County. The Adult Education Program also collaborated

with the Kalamazoo County Department of Social Services in writing proposals and securing funds for services.

In another cooperative project, KPS joined with ten other public school districts, intermediate school districts, and community schools to form the Kalamazoo Valley Consortium--a group that has worked together to coordinate adult and vocational education programs. The Consortium members collaborated with the local Private Industry Council (PIC) in establishing the Education For Employment (EFE) Program, which is aimed at assisting youth and adults in obtaining vocational training and adult education services.

Through these activities, the Kalamazoo Adult Education Program has had opportunities to build relationships with representatives from other education, job training, and social service agencies in developing processes for sharing information about programs and clients and for cross-referral of clients. This experience in collaboration provided a basis for these organizations to work together as part of the Kalamazoo/St. Joseph Core Group.

Description of the Core Group

Organization and Member Agencies. The Kalamazoo/St. Joseph Core Group is comprised of representatives from 38 agencies in Kalamazoo and St. Joseph Counties. Many of the members of the Core Group also are members of the Kalamazoo Valley Consortium, and representatives from the Consortium, the Kalamazoo County Department of Social Services (DSS), and the local PIC collaborated with the Kalamazoo Public Schools Adult Education Program in preparing the proposal that was submitted to HIFO to establish the Core Group.

While HIFO had few directives regarding the organization of the Core Groups, the Groups were expected to have a mechanism for managing their activities. The Kalamazoo/St. Joseph Core Group formed an Executive Committee as its policy and administrative body. This Committee is comprised of the following ten agency representatives:

- Adult Education Coordinator, Adult and Community Education, Vicksburg Public Schools;
- Assistant Superintendent, Kalamazoo Valley Intermediate School District;

- Coordinator/Principal, Adult Education, Kalamazoo Public Schools;
- Deputy Division Manager, W.E. Upjohn Institute;
- Director, Adult and Vocational Education, Kalamazoo Public Schools;
- Director, Vocational-Technical Education, St. Joseph County Intermediate School District;
- JTPA Director, W.E. Upjohn Institute;
- Manager, Michigan Employment Security Commission, Kalamazoo Office;
- Representative, Kalamazoo Valley Community College; and
- Representative, Youth Opportunities Unlimited Employment and Training.

Core Group Goals. Each Core Group established in Michigan was expected to set its own goals and implement activities that were appropriate for achieving the goals. Because of the prior collaborative work that had been carried by many members of the Kalamazoo/St. Joseph Core Group, the members began the effort with the recognition that they serve similar clients, and that high quality, integrated services must be provided to these clients to enable them to meet their adult education and job training needs.

With this underlying philosophy as a guiding principle, the Core Group developed the following three main goals:

- Develop closer links among and between business, industry, job training, education, and community agencies;
- Coordinate and develop common client intake procedures across agencies; appropriate assessment and

career guidance activities; and programs for teaching workforce skills to at-risk youth and adults; and

- Develop processes for marketing to the community available educational resources for at-risk youth and adults.

As part of the goal-setting process, the Core Group identified a variety of activities that the Group's members could carry out to achieve these goals.

Activities. One activity undertaken by Core Group members has been the cross-referral of clients and information sharing. The Kalamazoo Adult Education Program and the county Department of Social Services's Community Services Section have cooperated in sharing information about clients who receive services from both agencies. For example, if an adult enrolls in an adult education program and is receiving public assistance, the DSS Job Start and Michigan Opportunity for Skill Training (MOST) Program units open a case file on the client. DSS then determines if the client is eligible to receive supportive services that can help the client in attaining his or her education and employment goals.

Staff from the Adult Education Program and DSS share information on clients who are enrolled in an adult education class and are receiving supportive services. The Adult Education Program provides DSS with program attendance reports, assessment results, and other relevant information that will allow the DSS staff determine if the client is making satisfactory progress in the education program. This information is needed so that the DSS staff can assess whether the client is eligible to continue receiving supportive services. The Adult Education and DSS staff also meet regularly to discuss student progress and resolve any problems that may arise.

A major priority for the Kalamazoo/St. Joseph Core Group has been carrying out activities related to the development of three elements critical to the provision of integrated services: common definitions of terms, common client intake form, and a data management system. Although the HIFO staff at the State level was involved in the development of similar elements, the Core Group moved ahead with its work at a more rapid pace than HIFO. Members of the Core Group reviewed the regulations for the major Federal education, job training, and social services programs supporting their clients and developed definitions of terms that could be used by all agencies.

Once the definitions were established, the Core Group designed a common client intake form. One issue that the Group had to address concerned client confidentiality. Since not all agencies require client income information, staff were concerned that having this information accessible would be a violation of clients' rights. The Core Group discussed the issue and resolved it by developing a multi-tier form that contained information that was agency-specific as well as information that was needed by all agencies. This design allowed staff from programs such as adult and vocational education to use only the tier of the form that contained information needed for the administration of its programs.

Core Group members also developed a database and management information system for the data collected about clients. The system was designed so that agencies could access only the data that were relevant to their clients.

Related Coordination Efforts

Rapid Response Team. One outcome from the work of the Core Group has been the development of the Rapid Response Team (RRT), a collaborative effort led by three members of the Core Group that represents employment, education, and service organizations in Kalamazoo and St. Joseph Counties. The RRT was organized to assist employers in identifying retraining services that could be provided to employees to avoid layoffs, and to provide on-site support services to both employees and employers when a layoff is to occur. The Team helps employees who have been laid off to identify services that can assist them, such as educational upgrading or job retraining, and how these services can be accessed. The RRT also works with firms that are expanding by helping them identify potential employees and recommending internal training programs that can be provided, such as basic education classes, to increase the skill levels of the workers to meet a firm's needs.

The Literacy Network of Kalamazoo County. The Literacy Network was formed in 1986 by the Kalamazoo County Adult Literacy Coalition and the Kalamazoo Adult Education Program to promote the delivery of literacy services in Kalamazoo County. Network members have sponsored events to heighten the community's awareness about the literacy services that are available to adults.

The Kalamazoo Public Library received a grant from the U.S. Department of Education's Library Services and Construction Act and these funds have been used to support the activities of the Network. The library serves as a clearinghouse for information and refers adults to the varied organizations that provide literacy services in the local communities.

Summary

The Kalamazoo/St. Joseph Core Group has worked to establish processes that can be used by member agencies to facilitate the provision of services to clients. Following the original goal of the Michigan Opportunity System--to develop a unified service delivery system for adults--the Core Group moved forward and developed common definitions of terms, a client intake form that could be used by all agencies, and a data management system for accessing information about clients. Through these activities, Core Group members strengthened existing as well as developed new relationships that resulted in the implementation of new initiatives. The formation of the Rapid Response Team was one outcome from this effort.

The delivery of adult education services was enhanced through the work of the Core Group. Representatives from agencies other than adult education were able to learn about the services that are provided by adult education programs, and the cross-referral of clients was one result of agencies working together. There also was an increased awareness in the communities represented by Core Group members about the importance of adult education as a critical service for helping adults improve the quality of their lives.

LIST OF PERSONS INTERVIEWED

State Level

Ronald Gillum
Director
Adult Extended Learning Services

Rob Cecil
Director
Bureau of Employment Services
Michigan Department of Social Services

Karen Davis
Adult Extended Learning Services

Deborah Gretcher
Deputy Director
Employment Training and Community Services
Michigan Department of Labor

Lola Jackson
State Director
Career and Technical Evaluation

Gloria Mills
Literacy Program Coordinator

Sharon Panchuk
Literacy Program Coordinator

Martin Simon
Executive Director
Michigan Human Investment Fund

Richard Smith
State Coordinator
JTPA 8% Funds and Adult Occupational Instruction

Local Level

Edward Martlett
Coordinator and Principal
Kalamazoo Adult Education Program

Irving Cumming
Assistant Superintendent
Kalamazoo Valley Intermediate School District

Denise Duquette
Executive Secretary
Literacy Network of Kalamazoo County

Donna Jarvis
District Manager
Kalamazoo
Department of Social Services

Lyle Milligan
Manager
Michigan Employment Security Commission,
Kalamazoo Office

James Rudnick
Director
Kalamazoo Adult and Vocational Education Program

Craig Schreuder
Deputy Division Manager
Kalamazoo-St. Joseph Service Delivery Area

Robert Straits
Director
Kalamazoo-St. Joseph Service Delivery Area
Chairperson, Human Investment Fund Core Group

III. OREGON

A. State-Level Activities

Introduction

The Office of Community College Services (OCCS) is the unit under the State Board of Education that has responsibility for adult education programs in Oregon. A major interagency coordination effort undertaken by OCCS has involved the State's 1987 welfare reform program, the New Job Opportunity and Basic Skill Training (JOBS) Program, which preceded the implementation of the Federal JOBS Program. A New JOBS pilot program was instituted as part of the State's welfare reform program to provide basic skills education to low-income Oregonians and to train these clients either for work or further education. Through this program, local governments, community colleges, or private nonprofit organizations receive funding to provide these education and job training services. The coordination for the New JOBS Program is among the OCCS, the Oregon Economic Development Department (OEDD), and the Adult and Family Services (AFS) Division of the Oregon Department of Human Services.

In addition to the New JOBS Program, OCCS has worked collaboratively with the State Department of Corrections, Oregon Literacy, Inc., and other private and public sector organizations to stimulate the delivery of and support for adult education programs. These efforts have included the promotion of workplace literacy programs, the implementation of a student assessment system, and the development of a tutor training program. This case study describes OCCS's work with other State agencies and its activities to advance collaboration in the State's community college adult education programs. Also discussed are the interagency coordination efforts that have been carried out by adult education programs in three community colleges.

Background to Coordination

The involvement of the Office of Community College Services in interagency activities has been encouraged by a number of State initiatives aimed at strengthening Oregon's economic position. In 1988, the governor launched a strategic planning effort for the State that was conducted by 16 committees comprised of business, labor, education, and government leaders. The committees were organized into two groups: one group addressed issues concerning

rapidly growing industries and the other examined policy issues that affect economic performance across all industries. The planning effort produced a report that highlighted the role of partnership building in stimulating economic development in the State. The report also specified goals for the State that included increasing the literacy and functional skill levels of Oregonians. One strategy discussed in the report for attaining this goal was cooperation between business, labor, social service, and education agencies.

In 1989, the Oregon Legislature created the Oregon Progress Board, which is comprised of a group of Oregon citizens and chaired by the governor. The Board has the following goals:

- Design and implement a strategy for Oregon's economic development;
- Set measurable standards to determine the accomplishment of key objectives; and
- Monitor the extent to which standards are met.

The first task of the Board was to develop a set of benchmarks to measure the progress of the State in achieving its goals. The Board, in turn, established a Steering Committee to develop the initial set of benchmarks. This Steering Committee included the following: representatives from the Department of Human Resources and the Oregon Economic Development Department, the Superintendent of Schools, the Speaker of the House, the Assistant to the Governor for Education, the Director of the World Affairs Council, and the Superintendent of the Portland Public Schools. Benchmarks were established for three areas of education: adult literacy, adult educational attainment, and technical education. State agencies were involved in the process of developing strategic plans to achieve these benchmarks.

These policy initiatives brought attention to the importance of interagency coordination at the State level as well as collaboration between the public and private sectors. The initiatives also reinforced OCCS's activities that have been underway in working with State agencies in adult education, welfare reform, and employment training programs.

Linkages Supporting OCCS

In carrying out its responsibilities for adult education, OCCS has sought advice and assistance from the adult education service provider system and from organizations and agencies across the State concerned with adult education issues. OCCS's State Director of Adult Education established many of these linkages as part of the activities related to the State's Project Literacy U.S. (PLUS) initiative. A State task force and local literacy coalitions were formed for PLUS, and these groups met regularly with the State Director and other staff in planning PLUS events. Two of the groups that have been involved with OCCS planning activities are the Advisory Committee for Adult Education and Literacy and the ABE Directors' Network.

State Advisory Committee. The State Advisory Committee for Adult Education and Literacy is appointed by the Community College Commissioner. This Committee is a combination of the former State Advisory Committee for Adult Education and key leaders of Oregon's PLUS initiative. In addition to assisting the State Director of Adult Education with the development of Oregon's State Plan for Adult Education, the Committee has specified the following goals for adult education in Oregon:

- Improvement of literacy at all levels, preschool through adult;
- Removal of barriers to participation by encouraging expansion of locations, hours, and providers of literacy services;
- Establishment of partnerships among all adult literacy service providers;
- Conduct of statewide evaluation of services with emphasis on program outcomes;
- Development of new and expanded funding sources; and
- Linkage of students to available programs.

The Committee also has been involved in increasing public awareness of adult literacy services, helping support workplace literacy projects, sponsoring literacy events, raising money for a statewide hotline--Literacy Line, linking adult literacy providers with other service providers, ensuring that groups they represent are included in adult literacy networks, and supporting adult literacy legislation.

As of November 1990, membership on the Committee included the following agencies, organizations, and individuals:

- Oregon Department of Corrections;
- Oregon Community College Association;
- Oregon State University;
- Oregon Consortium for Job Training Partnership Act (JTPA);
- Adult Basic Education (ABE) program directors (representative from Mt. Hood Community College);
- Oregon Economic Development Department;
- Oregon Literacy, Inc.
- Northwest Regional Educational Laboratory (director of literacy research);
- Oregon State Library;
- Private business representatives (KATU Television, Precision Interconnect, and The Oregonian);
- One student;
- Two adjunct members from the Office of Community College Services; and
- One adjunct member from Portland Community College.

ABE Directors' Network. OCCS also organizes an ABE Directors' Network to build linkages among directors and facilitate the dissemination of information to local adult education staff. This Network group is comprised of the ABE directors from the 16 community colleges. The group meets quarterly and makes recommendations concerning the operation of OCCS's adult education program. As new adult education initiatives are organized in the State, this group serves as a springboard for ideas and assists in designing implementation strategies for these initiatives. For example, during the PLUS campaign, the ABE directors were instrumental in developing local community task forces. They also have been involved in recent developmental and technical assistance projects related to student assessment and competency-based curriculum design.

Interagency Coordination Initiatives

New JOBS Program and BASIS Assessment. After nine years of operating the Work Incentive Program (WIN), State agencies in Oregon realized that a lack of cooperation across agencies would be detrimental to the implementation of programs. When the State welfare reform program was initiated in 1987, a decision was made that administration and planning for the New JOBS pilot program had to be a joint effort among State agencies. Representatives from OCCS, AFS, and OEDD agreed that one agency could not manage the New JOBS Program alone and that each collaborating agency would focus on one area. A JOBS Management Board was appointed and was comprised of the Commissioner of OCCS, the Administrator of the AFS Division, and the Director of OEDD. An OEDD JOBS Unit was organized to provide planning, contracting, informational services, technical assistance, training, risk management services, and evaluation services to the New JOBS program and subsequently to the State's JOBS program.

One part of the implementation of the New JOBS Program called for the development of a basic skills assessment system for program participants. To address this need, the Office of Community College Services contracted with the Comprehensive Adult Student Assessment System (CASAS) program in California to develop a reading and mathematics assessment system for Oregon. Oregon's system was titled BASIS (Basic Skills Inventory System) and consisted of appraisal and survey achievement tests in mathematics and reading.

In order to implement the assessment component of the New JOBS Program, OCCS entered into a collaboration with OEDD, under a Memorandum of Agreement in 1990, to provide the following:

- BASIS tests, answer keys, and test manuals to New JOBS pilot sites as requested by the JOBS Unit;
- Training for BASIS test administrators, scoring on writing samples, and on-site technical assistance;
- Assistance with the interpretation of test results;
- Liaison with the State Employment Division regarding statistical analysis; and
- Certification of test sites and testing administrators.

The agreement also specified that the JOBS Unit would pay OCCS for the materials on a per item basis (e.g., $1.35 per BASIS Test Booklet), for training (e.g., $175 per full day of training or on-site technical assistance), expenses, and for developmental costs (e.g., $2,000 to develop an alternative form of the BASIS instrument and answer sheet).

The implementation of BASIS began with the seven New JOBS pilot sites and yielded a database of over 10,000 assessments from this population. The New JOBS Pilot sites provided OCCS with an opportunity to field test the assessment process before disseminating it to other providers of adult education services. For example, the State Department of Corrections began using the BASIS assessment process in its four main facilities in 1990. In addition, BASIS was implemented in five JTPA summer youth projects. As of October 1990, all of the New JOBS sites were administering BASIS and 11 of the 16 community college adult education programs were using this assessment system for placement in adult basic education programs.

Department of Corrections. OCCS and the State Department of Corrections entered into a Cooperative Agreement designating OCCS as the agency responsible for adult education activities in the State's correctional facilities. In attempting to meet its goal of providing literacy services in every correctional facility, the Department of Corrections contracts with the community colleges to implement adult education programs. OCCS has responsibility for providing staff training and planning to support the implementation of adult education programs in these facilities.

Oregon Tutor Training Model. In a joint effort with Oregon Literacy, Inc., OCCS has developed a tutor training model for the State. With funding from the

Gannett Foundation and OCCS, representatives from four community college adult education programs and Oregon Literacy, Inc. produced a set of instructional plans and materials for training effective literacy tutors. The objective of this collaboration is to organize a system of Master Trainers who can provide literacy tutor training in seven regions across the State.

Oregon Competency-Based Education Task Force. The Task Force is a network of Oregon adult basic education teachers who have been working on issues related to competency-based instruction since 1988. Initially, the task force focused on issues concerning functional assessment and program delivery. In 1990, the group developed and pilot tested a competency-based life skills curriculum for adult basic education programs. The Task Force is comprised of representatives from OCCS, the State Correctional system, and six community colleges.

Workplace Literacy. Since the Oregon PLUS initiative was underway in the mid-1980s, OCCS has actively promoted the development of workplace literacy programs with business and labor groups in the State. Through OCCS-sponsored meetings and the activities of the ABE Directors' Network, community college adult education programs have been encouraged to approach business and industry and implement joint literacy programs.

In addition to the activities undertaken by OCCS, other private and public sector organizations have supported workplace literacy efforts. An August 1989 training program sponsored by the Literacy Project staff of the Northwest Regional Educational Laboratory provided models and methods for educators charged with developing workplace literacy projects. In September 1989, The Oregonian newspaper sponsored a statewide business and literacy conference to introduce personnel directors to educators trained in developing workplace literacy projects. State agencies, nonprofit training centers, JTPA personnel, labor representatives, and business representatives were involved in planning the conference.

In an effort to demonstrate effective workplace literacy practices, the Columbia-Willamette Workplace Literacy Consortium, comprised of representatives from Portland Community College, Mt. Hood Community College, Chemeketa Community College, the Northwest Educational Laboratory and four other agencies received a grant from the U.S. Department of Education's National Workplace Literacy Program. In this project, each community college selected a partner from companies with whom they were working to develop a workplace literacy program. The Northwest Laboratory provided technical assistance and evaluation services.

Special Features of the Coordination Efforts

Several conditions in Oregon have facilitated the implementation of inter-agency coordination activities in support of adult education. The long-standing working relationship between the State Director of Adult Education and other State agency representatives enables these individuals to collaborate as new Federal and State initiatives are instituted. The small size of State agencies encourages interaction among State officials and these relationships have been well-developed over time.

OCCS's State Director of Adult Education has exerted leadership by involving representatives from the adult education delivery system in State planning processes, particularly in the development of the State Adult Education Plan and in designing new student assessment procedures and curriculum. This leadership has extended to include representatives from private and public sector organizations in developing adult education initiatives. The activities undertaken as part of the State's PLUS initiative formed a base for subsequent initiatives in workplace literacy.

Finally, the State's concern for its economic position (exemplified by the creation of task forces to address economic development issues and the Oregon Progress Board's activities) created an environment that supports collaborative efforts between organizations and agencies at State and local levels. This environment is one that encourages innovation in problem-solving and the undertaking of activities to meet the needs of the varied segments of the State's population.

B. Local-Level Activities

Overview of Local Adult Education Initiatives

This section's description of the interagency coordination activities of three of the community colleges illustrates the types of initiatives that have been implemented throughout the State. The efforts of Portland Community College, Mt. Hood Community College, and Chemeketa Community College in carrying out workplace literacy, welfare reform, literacy hotline, family literacy, and alternative high school programs are discussed below.

Portland Community College

Literacy Line. The Literacy Line is a toll-free hotline that provides literacy information and referral services to adult literacy students and links them with volunteer literacy tutors. The Line also enables businesses, public agencies, community agencies, and individuals to access information about literacy services offered across the State.

The Literacy Line is operated by Portland Community College in conjunction with a consortium of other organizations. The Development Office at Portland Community College, acting on behalf of the Oregon Literacy Line Foundation, serves as the fiscal agent for collecting operating funds for the Line.

The Line was first established as part of Oregon's PLUS task force. Initially, Library Services and Construction Act grants from the U.S. Department of Education funded the Statewide Literacy Line through the Multnomah County Library Association. Currently, funding is provided though corporate and private donations as well as State Lottery monies that were appropriated by the legislature in 1987. The Line is governed by a Task Force consisting of representatives from the following organizations:

- Oregon Office of Community Colleges;
- Oregon State Library;
- Oregon State University;
- Portland Community College;

- Mt. Hood Community College;
- Oregon Literacy, Inc.;
- Oregon Public Broadcasting;
- KATU Television;
- The Oregonian; and
- Code-A-Phone Corporation.

Information about the Literacy Line is obtained by one of the following means: (1) the Line's brochure; (2) the weekly insert in The Oregonian newspaper; (3) referral from another education organization; (4) a special campaign (e.g., Ackerly Communications mounted literacy billboards); or (5) word-of-mouth. The Oregonian also advertises the Line with brochures and posters, and sponsors an annual spelling bee to raise donations.

The Literacy Line is staffed by ACTION VISTA volunteers and a paid Literacy Coordination Specialist at PCC who manages the hotline. A paid secretary also performs clerical and data entry tasks.

When a call comes in on the hotline, a staff member takes the caller's name, address, and telephone number and then begins several levels of assessment to determine the specific needs of the caller. The first level of assessment is to match the caller geographically with the nearest literacy organization. Next, a staff member engages in a brief discussion with the caller to determine if she or he has a high school diploma, has trouble reversing letters, or is interested in tutoring. If the caller has trouble reversing letters, the staff member refers her or him to other services such as the Dyslexia Society of Portland. Callers who are interested in tutoring are referred to their local community college and the nearest literacy council and are encouraged to contact both groups.

After the call is completed, the Literacy Line staff member writes to the organizations to whom the caller was referred. The Literacy Line requests that literacy organizations and tutors submit a report documenting the referrals that have been received. To encourage callers' participation in literacy services, a Line staff member contacts the caller about two weeks after the initial call to determine if contact with a literacy provider has been made.

The Line receives an average of 200 telephone calls per month. These calls are equally divided between potential students and persons interested in tutoring. The Line also compiles and distributes a quarterly newsletter to all adult literacy providers in the State and regularly publishes statistical reports that describe student referrals and placements.

North/Northeast Skills Center. This program is jointly administered by the North/Northeast Skills Center of PCC and the Northeast Workforce Center (NWC). Operated at PCC's Cascade Campus site, the program is funded under the State's Workforce 2000 Act. This Act authorized the use of funds from the State Lottery to pay for economic development and job training activities. Local matching funds are provided by PCC, NWC, and the State Employment Division.

Adult learners are referred by the local Private Industry Council (PIC), Adult and Family Services, the Urban League, Portland Public Works Department, or are recruited by the NWC. NWC conducts a client assessment using a two-page intake form to determine the client's needs, past training, income, and other characteristics. If the NWC assessment indicates the client is ready for training, the client is referred to the Skills Center staff for further assessment and placement into an appropriate program. Individualized education plans are developed for each client.

The assessment undertaken by NWC may indicate that the client cannot profit from the Skills Center program without first receiving support or education services to address a personal need or skill deficiency. If this occurs, the client is referred to a training program or other services provided outside of the Skills Center.

This program is a collaboration between the Northeast Workforce Center and the PIC. The planning process for the Skills Center began in 1989 and included the PIC, Northeast Coalition of Neighborhoods, Inc., Northeast Jobs Committee, Northeast Economic Development Corporation, the mayor's Revitalization Committee, Northeast Business Boosters, and the Northeast Development Commission. In Fall 1989, an advisory committee was established to design and evaluate the Skills Center. It included 25 members and represented such groups as the PIC, PCC, unions, and private businesses. The advisory committee met twice in December 1989. The second meeting resulted in a decision to combine the NWC with the Skills Center.

PCC and NWC share management responsibilities for the program. The NWC program coordinator has principal responsibility for representing NWC publicly, and supervises the NWC staff, coordinates with the PCC Skills Center

staff, plans services, monitors and evaluates activities, and oversees the budget. The NWC reports to the Northeast Coalition of Neighborhoods, Inc. The PCC Executive Dean of the Cascade Campus has ultimate responsibility for managing the Skills Center. Day to day management is performed by the Skills Center Director. The PIC counselor, the NWC coordinator, and the State of Oregon Employment Division specialist at the Skill Center are supervised by the Skills Center Director.

Mt. Hood Community College

"Steps to Success" Program. The "Steps to Success" Program is part of the College's ABE program and delivers services in four classrooms in the Centennial Mt. Hood Center, a converted elementary school. The program began in 1988 as one of seven pilot demonstrations under the Oregon's New JOBS welfare reform initiative. Funding for the program, which serves three counties, comes from AFS through the Oregon Economic Development Department or from PIC contracts.

Mt. Hood Community College subcontracts with three organizations to provide program services. The PIC provides life skills training and the Portland Public Schools operates a day care facility for teen parents while they are in the program. A for-profit company in Columbia County, Management and Training Corporation, offers life skills and job development training in that county.

The program is designed so that adult students receive adult basic education, adult secondary education, life skills, and vocational training. A maximum of 30 students is enrolled in each four-week program for 24 hours per week, which operates Monday through Thursday, 9:00 a.m. to 3:30 p.m. There are usually 12 instructors who team teach. As many as 50 students have participated in the program at one time.

The services provided by the program include:

- Life Skills and Assessment Seminar: This component is a four-week, prevocational training course covering topics such as work values, self-esteem, effective communication, transferrable skill identification, career assessment, and time and money management. The life skills part of the course consists of primarily a group discussion with some lecture; there are materials to be completed, such as a self-esteem assessment; ·

- Personal and Career Counseling: Professional counselors help with short-term counseling needs, crisis situations, and additional career development. Smaller support groups are organized to deal with problems of alcohol and drug abuse;

- Adult Basic Education: Students with low reading and math skills participate in adult basic skills or adult secondary education classes. These classes are taught using computers and video technology, and also include individualized tutoring.

- Training Opportunities: Students can receive up to two years of vocational training. Intensive short-term courses have been developed in occupations such as medical insurance claims clerk, chiropractic assistant, and accounting clerk. Students receive on-the-job training through the PIC; and

- Job Club: This component is a two-week class to assist students in preparing a resume, learning interviewing skills, and identifying job market possibilities. The Employment Division and the PIC have representatives who provide on-going job search assistance and job referrals.

Students in the "Steps to Success" Program are referred primarily from AFS and have been screened by AFS for income eligibility and other qualifying characteristics. The instructional staff administers the BASIS test to these students. Each student then meets with an assessment specialist to receive the results and to establish a set of goals for the program. Students referred from the PIC are given the Test of Adult Basic Education (TABE) test during the second week of the life skills class. Students must score at the sixth grade reading level to be admitted into the life skills class. If the student has difficulty reading, she or he is assigned a tutor. The program also includes a "fast track" component, in which students with a high level of basic skills move from assessment into job placement without participating in the life skills class.

Staff provides counseling to students individually or in small support groups. Job counseling is performed by the Job Club--the job placement office operated

by the State Employment Service at another location. Each student is assigned to a community resource specialist who functions as a de facto case manager.

During the pilot phase of the program, 1300 students were served. Of these, approximately 300 were placed into jobs and 300 received their General Educational Development (GED) certificate. Many of the students who were placed into jobs were abie to find full-time employment that paid $6 to $7 per hour.

Chemeketa Community College

The Developmental Education Department operates several service programs at either its main campus or in local schools. The Department's objectives include a commitment to provide services to "high risk" students throughout the college and to develop an effective system for identifying such students. The community college is involved in the following collaborative activities: the Downtown Learning Center, the Even Start demonstration program, the New Chance demonstration program, the workplace literacy programs, the homeless shelter program, the New JOBS pilot site, and the alternative high school program.

Downtown Learning Center. Chemeketa Community College collaborates with the Mid-Willamette Jobs Council, the City of Salem, the Salem-Keizer Public Schools, and the Regional Vocational Technical Steering Committee to provide educational programs for undereducated youths and adults. These programs are offered in the Downtown Learning Center, which opened October 1988 as a multi-funded, employment-oriented learning center. The center combines the following in a single center in downtown Salem: adult basic education, GED preparation, vocational assessment, youth competencies preparation, education and employment counseling, job placement and training referral services.

The Center is supported by several funding sources. The Jobs Council pays for utilities and the City of Salem donates the rent for the building. An employment specialist is supported by the school district, and adult basic education instructional staff are paid with the community college's Federal adult education monies.

Even Start Program. The Even Start program, a demonstration grant funded by the U.S. Department of Education, is a collaborative effort between the Salem-Keizer Public Schools and Chemeketa Community College. The school

district, which is the grant recipient, provides the facilities and preschool component. The community supports the ABE and GED preparation instructors.

Even Start is a family literacy program for adults who do not possess a high school diploma or GED certificate. Adults attend the program together with their three- or four-year old child. The program operates at a local elementary school, where there are separate rooms for adult education and preschool activities. The parents participate in adult basic education and parenting skills classes while the children attend preschool. The program is held three full days a week during the school year and provides transportation assistance and a free breakfast and lunch.

New Chance Program. New Chance, a national demonstration program, is a collaborative effort between Chemeketa Community College and the Salem YMCA. The YMCA receives funding from Manpower Development Research Corporation (MDRC) and State funds to operate a teen parent program. The program is located at the school for the deaf and includes child care, transportation, basic skills and GED preparation classes, job training, and meals. The community college provides curriculum support and funding for basic skills and GED preparation classes.

Workplace Literacy Programs. Chemeketa Community College has worked with businesses in the community to develop and implement workplace literacy programs. One contract was with SILTEC for basic skills and math classes, and another was with Nordic for an on-site English-as-a-second-language program. In the Nordic program, the company provided space, and a part-time instructor was supported by the community college's general fund and State Legalization Impact Assistance Grants (SLIAG) monies.

Homeless Shelter Program. In another joint effort, Chemeketa Community College has collaborated with the Salvation Army, the Deveraux Hotel (a transient hotel), and a local shelter to provide a literacy program. Initially, the program was supported by a State grant from the U.S. Department of Education's Adult Education for the Homeless Program. When the grant ended, the program became a voluntary effort. The Salvation Army provides the site and recruits students, while Chemeketa Community College provides tutor training and materials. The tutors are all volunteers from the Salem Literacy Council.

New JOBS Program. Chemeketa Community College collaborates with the local Jobs Council and the county welfare department in carrying out the New JOBS Program. The Developmental Education Department at the community

college conducts BASIS testing for program participants and refers them to adult basic education and life skills classes.

Alternative High School Program. Chemeketa Community College collaborates with Marion County Mental Health agency, the Marion, Polk, and Yamhill Literacy Coalitions, Mid-Willamette Jobs Council, and the Salem Downtown Center to sponsor an alternative high school program for nine school districts. The alternative program accepts students ages 16-21 who are "at risk" or are in danger of being suspended. Chemeketa Community College provides a core curriculum of instruction and students who complete this curriculum can graduate with their own high school class.

Summary

The activities undertaken by the three community colleges exemplify the linkages and coordinated services that have been developed by adult education programs in the State's community college system. These programs have worked with job training and human services organizations, economic development organizations, businesses, local school districts, local literacy councils, research organizations, and community-based organizations to obtain funding, coordinate resources, and design programs for adults in need of adult education, job training, and support services. The linkages established among the community college's adult education program, through the Directors' Network, have facilitated information dissemination and stimulated program development. The funding, technical assistance, and leadership provided by the Office of Community College Services also have been instrumental in fostering collaboration at community college sites.

LIST OF PERSONS INTERVIEWED

State Level

Donna Lane
Assistant Commissioner and State Director of Adult Education
Office of Community College Services

Sharlene Walker
Curriculum and Staff Development Specialist
Office of Community College Services

Ron Bassett-Smith
Manager
JOBS Administration
Oregon Economic Development Department

Steve Reder
Director of Literacy, Language, and Communication Program
Northwest Regional Educational Laboratory

Local Level

Joe Ponce
ABE Director
Portland Community College

Cindy Stadel
Literacy Coordination Specialist
Portland Community College

Ed McMahon
ABE Coordinator
Mt. Hood Community College

Amy Johnson
Administrative Supervisor
Mt. Hood Community College

Lynn Hamersly
Instructor
Mt. Hood Community College

Paulette Hilton-Robinson
Director
Northeast Skills Center

Mark Terpin
Associate Director and Education Specialist
Chemeketa Community College

Jill Ward
Special Projects Coordinator
Chemeketa Community College

IV. NEW YORK

A. State-Level Activities

Overview

Since the mid-1980s, the New York State Education Department's (SED) Office of Continuing Education has worked with the New York State Department of Social Services (DSS) and the Job Training Partnership Act (JTPA) Network to address the education and training needs of educationally and economically disadvantaged adults in the State. Collaboration between the Office of Continuing Education and other State agencies has involved developing a plan for meeting the demands of a rapidly changing economy and providing a broad array of services that include basic and vocational education, job training, and support services. A critical element in the collaborative activities has been the joint funding of several grant programs to facilitate the delivery of integrated services.

A recent initiative has been the joint funding by the State Education Department and the State Department of Social Services to provide integrated adult education, vocational education, job training, and support services at the county and community levels. Three types of service entities comprise this initiative: (1) Adult Centers for Comprehensive Education and Support Services (ACCESS centers), (2) Counseling, Assessment and Support Services for Education and Training (CASSET sites), and Neighborhood Education and Training for Work (N.E.T.WORK). Within SED's Office of Continuing Education, the Bureau of Continuing Education Field Services has responsibility for administering the initiative. This case study describes the Bureau's activities in implementing two of the funding programs provided through the initiative: ACCESS centers and CASSET sites. Also presented are profiles of the operation of these programs in two communities.

Background of the Initiative

The Office of Continuing Education's emphasis on coordination and the provision of integrated services through initiatives with the Department of Social Services in sponsoring this joint initiative has developed gradually over the past decade. Since implementing the WIN demonstration program, SED has worked with DSS in structuring education programs for welfare recipients. The Vocational Education Act's (VEA) call for coordination with JTPA also was an opportunity for SED to work with the JTPA Network (a network of Service

Delivery Areas) in providing vocational training programs. There also have been joint programs between the State Department of Labor (DOL) and DSS that have reinforced interagency coordination. For example, a pilot project funded under JTPA 6% monies in 1985 called for jointly-administered local services in JTPA Service Delivery Areas and local social service districts.

In addition to interagency initiatives, there have been intra-agency efforts at coordination. For example, a pilot project jointly funded with VEA and AEA funds called for a group approach to adult career counseling and established counseling centers. The Comprehensive Employment Opportunity Support Centers (CEOSC) were established independently by the State DSS. Begun in 1987, the CEOSC were designed to provide counseling services to Aid to Families with Dependent Children (AFDC) mothers with children under six years of age. When ACCESS/CASSET was launched, the Office of Continuing Education involved the State DSS in determining where ACCESS centers and CASSET sites were located so that CEOSC services could support the ACCESS/CASSET initiative.

The interagency and intra-agency activities undertaken by the SED, DSS, and the JTPA Network had the characteristic of providing incentives to local communities rather than mandates. Through the joint funding of special projects and the emphasis on providing services, such as counseling, which addressed the varied needs of economically and educationally disadvantaged adults, the agencies had initial experiences with developing systems of integrated services.

The advent of welfare reform and the call for coordination in legislation governing adult education, vocational education, and job training programs provided an added incentive to the State Education Department to work with the Department of Social Services and the JTPA Network. Increasingly, State agency personnel and local program staff recognized that programs funded by these agencies were serving similar populations whose needs might best be addressed by providing a comprehensive set of services that was coordinated among agencies, rather than being delivered separately. Furthermore, the reduction in resources from individual funding sources suggested that a pooling approach to resource development might be an effective strategy for supporting quality services with limited funds. These factors provided a context for the development of the ACCESS/CASSET initiative.

Characteristics of the Initiative

Two goals of the New York State Welfare Reform program formed the underlying philosophy for the ACCESS centers and CASSET sites. These were:

- All out-of-school Aid to Families with Dependent Children (AFDC) parents will receive help to establish an education and training plan for self-sufficiency; and
- All out-of-school AFDC parents will be given the opportunity to participate in basic education, life skills, and occupational education appropriate to their employment and development plans and receive relevant support services.

In working together to develop the program models that would constitute the ACCESS/CASSET initiative, SED and DSS staff recognized that different regional population patterns and resources would result in a variety of needs. Hence, distinctive models were required to address the varied geographical requirements and client service needs. What resulted was the creation of three models that provided different types of service delivery structures throughout the State.

The ACCESS center model is the most comprehensive model for delivering services in counties with a high potential target population. The first ACCESS centers were established in January 1989. ACCESS centers are intended to provide, at one location, a comprehensive program of services including the following: basic education--i.e., literacy, basic skills, English as a Second Language (ESL), and General Educational Development (GED) preparation, occupational education, workplace literacy, job development and placement, life management skills instruction, career counseling, case management, and support services such as child care and transportation. A distinctive feature of the ACCESS centers is that all services must be offered under one administrative structure in a single location. Each center also is expected to form an Advisory Council that brings together the collaborating agencies that are working together in support of the ACCESS center.

The CASSET site model, which was first implemented in June 1989, requires that sites link with other education programs and service providers to ensure that a comprehensive array of services is available to adult students in an

area. These sites differ from the ACCESS centers in that the Cassett sites do not offer services at a single location, but have a system for referring adult students to resources at designated agencies in the community. While each CASSET site is expected to provide counseling, case management, assessment, instructional services, parenting education, and family literacy, as well as transportation and on-site child care, students may be referred to basic skills education or occupational training and job development services at a different location.

The third type of model is the N.E.T.WORK program, which is designed to be operated in conjunction with community schools. These sites are located in public schools and provide additional services to the school community, such as basic education, career counseling, child care, and work experience programs.

Funding Structure

A unique feature of the ACCESS/CASSET initiative is the integrated funding structure that has been developed by the State Education Department's Office of Continuing Education to support the three models. One obstacle that traditionally has hampered integrated services initiatives is the differing client eligibility requirements for expending Federal and State monies. In an attempt to address this obstacle, the Bureau of Continuing Education Field Services developed a number of inter- and intra-agency agreements to transfer funds to the State Education Department and to allocate funds from the Bureau so that a single funding program could be developed using monies from multiple sources. The following sources of Federal and State funding have been used to support the ACCESS centers and CASSET sites:

- Adult Education Act--Sections 321 and 353;
- Vocational Education Act (now the Vocational and Applied Technology Education Act)--Single Parent and Consumer Homemaking grants;
- Job Training Partnership Act--8% funds;
- Job Opportunities for Basic Skills/Education for Gainful Employment (EDGE) monies;
- Welfare Education Program (WEP);

- State Adult Literacy Education (ALE) Program;
- Comprehensive Employment Program funds from the State Department of Social Services; and
- JTPA 3% funds from the State Office for the Aging.

The Bureau of Continuing Education Field Services uses these sources to develop a funding mix for each of the ACCESS and CASSET grants that are allocated. The mix is determined, in part, by the types of clients and services that are proposed for each center or site. For example, a proposal to serve older Americans would justify the allocation of Office for the Aging monies. The largest sources of funding have been adult education, vocational education, and social services monies.

Facilitating Factors and Obstacles to Implementation

The implementation of the ACCESS/CASSET initiative has been facilitated by a number of factors. First, the longstanding relationships among staff in the Office of Continuing Education and between these staff and those in the State DSS made it possible to develop a comprehensive initiative requiring interagency agreements and the transfer of funds. These relationships represent not only staffs' experience in working together but also a common vision of the types of systems that can be developed to assist adults become self-sufficient.

Furthermore, the fact that the authority for both Adult Education Act and Vocational Education Act monies was based in the Office of Continuing Education has provided opportunities for linking adult education and occupational education both programmatically and fiscally. This linkage is particularly evident in the ACCESS centers, where basic education instruction can be offered alone or in the context of occupational education.

The ACCESS/CASSET initiative also has been enhanced by the training and technical assistance that has been provided to staff at the centers and sites. The Office of Continuing Education has funded a number of training initiatives with its AEA Section 353 monies and other funds to train staff in assessment, case management, counseling, and family literacy techniques. Training also has been provided to project directors in fiscal management procedures.

The most significant obstacles concern fiscal accountability and data tracking. While the ACCESS centers and CASSET sites are working to report the types of clients that have received services through the varied funding sources, this process continues to be challenging. In an attempt to provide integrated services, centers and sites have attempted to reduce barriers to clients for receiving services. Given the range of services that are being offered and the varied types of clients receiving these services, it continues to be difficult to match clients, services, and funding sources so that expenditures can meet Federal and State audit requirements.

Another challenge for the centers and sites is the tracking of client or student outcomes. Various data management systems are being developed to help determine the extent to which clients receive services and the impact of these services on clients' educational, occupational, and personal goals. The availability of these data will be critical for determining the overall success of the initiative.

Next Steps

The Office of Continuing Education continues to reinforce the principles underlying the ACCESS/CASSET models through other funding initiatives. For example, the guidelines for the submission of funding applications for Fiscal Year 1992 Vocational and Applied Technology Education Act (VATEA) funds called for the provision of integrated services in the stated priorities. Furthermore, programs applying for AEA Section 321 funds have the requirement of integrating or articulating basic skills and occupational education. Section 353 monies also were available for regions to demonstrate effective practices in integration of basic skills and occupational education programs.

B. Local-Level Activities

1. Mid-Manhattan Adult Learning Center

Introduction

The Mid-Manhattan Adult Learning Center is one of six ACCESS centers in the New York City region. Located in a four-story, brick school building in West Harlem, the Center is administered by the New York City Board of Education's Office of Adult and Continuing Education. As a comprehensive education center, Mid-Manhattan offers an array of services including counseling, basic education (i.e., literacy, basic skills, English as a second language, and GED), prevocational training, vocational/occupational training, and on-site day care. These services are implemented as part of the Center's general education program, as well as part of special programs that are designed for population groups such as teen parents. Described below are the services offered by the Center, the outcomes that have been realized from these services, and the special features of the Center's programs that contribute to its effectiveness as an ACCESS center.

Program Services

Developmental History. The Mid-Manhattan Adult Learning Center's approach to providing integrated services that combines basic education, occupational education, and student counseling has developed, in part, from the Board of Education's ongoing emphasis on meeting the diverse needs of students--particularly as they relate to job preparation. Historically, the adult education program sites administered by the Board have had strong vocational training components as well as literacy, basic skills, ESL, and GED instruction. While these programs were delivered to meet students' specific needs, they were not implemented as an integrated delivery system.

Since the mid-1970s, with the establishment at the Board of an Office of Adult and Continuing Education, there has been an increased focus on coordination from the central office as well as an emphasis on providing a range of services to students to facilitate the achievement of their educational and vocational goals. Beginning in 1988, this emphasis on coordination and integrated services expanded with the creation of boroughwide planning committees in all regions within the boroughs to guide the development of services at program sites. The availability of funds for operating special projects that called for integrated services also facilitated the implementation of a comprehensive approach to service delivery.

Each borough has a planning committee that is composed of representatives from the adult education sites, community members, and liaison staff from the Office of Adult and Continuing Education. The programmatic thrusts that have been developed through the regional committees include expanded counseling services for students upon their entry into an adult education program, pre-vocational training to prepare students to enter occupational courses, and the provision of support services such as on-site day care.

As one of the Board of Education's adult education sites, the Mid-Manhattan Adult Learning Center's program has been enhanced by the initiatives begun by the Board and has developed new thrusts to meet the emerging needs of its students. When State Education Department funding for ACCESS centers was available in 1989, the Mid-Manhattan Center was well positioned to meet the requirements for a site-based integrated services program.

Description of Services. The education services offered by the center are the following: basic education (i.e., literacy, basic skills, English-as-a-second-language, and GED instruction), prevocational training, and occupational training. In addition to these services, two special programs are offered at the Center--New Chance and Project Prepare. New Chance is a national demonstration program to prepare teen parents to become economically self-sufficient, which is co-sponsored by the Manpower Demonstration Research Corporation (MDRC), the New York State Department of Social Services, and the New York City Board of Education. While the program is designed to serve primarily AFDC recipients, approximately 25 percent of the participants are not welfare recipients. Teen mothers who are between the ages of 16 and 22 and whose child was born on or before the mother's 19th birthday are eligible to participate. Project Prepare is an education and job training program originally designed for welfare recipients, which has been supported by State Department of Social Services funds administered by the State Education Department. Services at the Center are offered during the day and evenings. During the fall of 1990, approximately 840 day students and 400 evening students received some type of service from the Center.

All students who wish to enroll in a Center program participate in an orientation procedure that includes an in-depth interview with a counselor to determine students' goals and support service needs, an assessment of students' basic skills using the Test of Adult Basic Skills (TABE), and the collection of information concerning students' vocational interests and experiences. ESL students are given the John Test to assess their English language skills. Information collected through the interviews and assessments is entered onto a Center registration form. Formerly there were separate registration forms for adult education and occupational programs, but the two forms were combined

into a single form to facilitate program coordination. The intake information also is included in an individual student folder that is kept for students both by the counselor and the teacher during each student's tenure in the program.

The orientation procedure is a critical component of the services offered by the Center. When the Board of Education began its initiative in 1988 concerning the provision of integrated services, the Mid-Manhattan Center served as an experimental site to test different orientation models. Students from other adult education sites were sent to the Center for a two-week program of interviews with counselors, skills assessments, and life management sessions to prepare them for their classes. The underlying assumption of this experimental orientation model was that prospective students, particularly those who were educationally and/or economically disadvantaged, would have a higher potential for success in a program if their skills and support service needs were carefully assessed before they began the program. In addition, it was thought that life management classes would help students to clarify their educational and occupational goals and prepare them to address any barriers that might interfere with their participation in the program.

While the experimental two-week model proved to be expensive, the orientation services provided to students were thought to be effective since students who participated in this process appeared to have a greater likelihood of being retained in the program. The orientation procedure was revised and the adult education sites administered by the Board of Education were encouraged to offer a variant of the model. At the Mid-Manhattan Center, the orientation model was modified to five half-days.

Once the orientation procedure is completed, students are placed into basic education programs based on their performance on the John and TABE Tests. The tests are scored and analyzed by staff at the Office of Adult and Continuing Education and sent back to the Center. Students are placed into one of four levels of ESL instruction based on their performance on the John Test. Basic education students who score below 8.5 on the TABE are asked to participate in 15 hours of basic skills classes. Students scoring between 7.5 and 8.4 on the TABE are eligible for basic skills classes as well as prevocational instruction, such as 15 hours of clerical skills classes. Students scoring 8.5 or above on the test are asked to participate in six hours of GED preparation classes and 15 hours of keyboarding skills. Students are encouraged to enroll in both education classes and occupational classes, such as keyboarding, to enhance their opportunities for job placement or job upgrade.

Students who come to the Center for occupational training and who do not require remediation in basic skills are assessed to determine their readiness for

occupational classes. A variety of occupational classes are offered by the center, including instruction in License Practical Nursing (LPN), electronics repair, and computer-related jobs. Each occupational class has skill requirements that are updated regularly to meet the changing demands of the occupation. Students are tested using general aptitude or occupational battery tests and those who meet the test requirements are placed into a class. Students whose skills are below those required for a class have the option of entering a prevocational program. The prevocational program prepares students to meet the technical requirements of their desired occupational instruction. Some prevocational programs, such as the LPN, include a volunteer community placement component that allows students to experience a work environment with minimal pressure.

In addition to the occupational and prevocational classes, the Center provides job placement assistance to students. The Board of Education's Office of Adult and Continuing Education has an employment support team that sends job developers to adult education sites to provide assistance. The job developers conduct case conferences with teachers and counselors, arrange for employment testing such as local civil service and Federal examinations, and organize visits from prospective employers. In addition to these services, students receive counseling in job readiness skills such as resume preparation, job interviewing, and clothing requirements for work.

One of the support services offered at the Center is on-site child care for infants and toddlers from ages 2 years, 9 months to 5 years. The child care facility is certified by the New York City Health Department.

Staff and Staff Development. The Center is managed by a director who has been at the site for 18 years. He is responsible for all aspects of the services that are offered, is a member of the regional borough committee, and meets regularly with the director and staff from the Office of Adult and Continuing Education. During the fall of 1990, there were approximately 83 staff members providing the services offered by the Center--30 of whom were full-time employees. Nine of these staff members were counselors. Two case managers worked with New Chance program students, one counselor/case manager worked with Project Prepare students, and the remaining six conducted the intake assessment and provided occupational education counseling.

The Office of Adult and Continuing Education provides ongoing training for staff working in the adult education sites in the New York City region. Most recently, this training has focused on strategies for providing counseling services and integrating basic and occupational education.

Program Outcomes

The integrated services approach utilized by the Mid-Manhattan Adult Learning Center has resulted in three types of outcomes for students. These outcomes were determined through the analysis of student data that are maintained by the Center. First, students participating in the comprehensive orientation procedure--during which their skills are assessed and a plan for instruction is prepared--are less likely to leave the program before completion. Second, the provision of prevocational instruction has increased the likelihood that students will succeed in occupational classes because they are better prepared to undertake the work. Third, students who complete the occupational classes have been successful in securing employment, in part due to the employment counseling services that are provided to students in job seeking skills, employment testing, and job interviewing.

Special Features of the Program

Several features of the Mid-Manhattan Adult Learning Center's program have contributed to its effectiveness as an ACCESS center. Its history of offering a comprehensive occupational training program in conjunction with basic education classes provided a framework for implementing an ACCESS model. With the ACCESS funding, there was a greater emphasis on coordinating the two programs, and one illustration is the combined registration form that was adopted.

The Board of Education's initiative to expand counseling services and the Center's participation as an experimental site also assisted in the implementation of a counseling component. The Center has tried different strategies in developing an intake process to meet the educational, vocational, and personal needs of students, and the result has been a comprehensive approach to program services that combines ongoing counseling and instruction for students.

Finally, the Center's philosophy concerning student involvement and providing community-based services is consistent with the underlying approach of the ACCESS centers. For example, all students at the Mid-Manhattan Center belong to the student body organization and meet regularly. In addition, the building is viewed as a resource by community members because of the diverse services that are offered. These factors have helped the Center to achieve the goals of ACCESS and to address students' varied needs.

2. Rensselaer-Columbia-Greene BOCES

Introduction

The CASSET Resource Center examined in this study is administered by the Rensselaer-Columbia-Greene Board of Cooperative Education Services (BOCES) in Troy, New York. Located in a multi-service building in downtown Troy, the Center offers literacy and basic education programs, counseling and case management, and the Job Club Program to adults in Rensselaer County. The Rensselaer County Department of Social Services (DSS) Office and the Job Service also are located in the building.

Described below are the services provided at the CASSET site, the outcomes that have been achieved through the implementation of a CASSET model, and the special features of the program that have contributed to its success.

Program Services

Developmental History. The New York State Education Department's announcement of the ACCESS/CASSET initiative in January 1989 provided the Rensselaer-Columbia-Greene BOCES with the opportunity to build upon existing working relationships with the Rensselaer County DSS, the Educational Opportunity Center (EOC), the Enlarged City School District of Troy, the Department of Aging, Hudson Valley Community College, the Office of Employment and Training, and Literacy Volunteers of America (LVA) in developing a plan for providing integrated counseling, assessment, and support services to adults. Since the early 1980s, the BOCES Office of Continuing Education had worked with clients from these and other local agencies in providing adult basic education, English for Speakers of Other Languages (ESOL), and high school equivalency programs (the External High School Diploma Program and the GED instructional program) as well as referring clients to occupational training and literacy tutoring services. When the ACCESS/CASSET funding became available, the BOCES was able to develop a proposal for a CASSET Resource Center model that involved coordinating these local education, job training, social service, and child care agencies in identifying, serving, and referring disadvantaged adults, including public assistance recipients. In contrast to the ACCESS model, in which education, job training, child care, and support services are provided in one location, the CASSET model uses a resource center approach in which core educational and counseling services are provided at one site and clients are

referred to other local agencies for additional education services as well as occupational training and employment preparation.

Description of Counseling, Assessment, and Instructional Services. The CASSET Resource Center offers the following services to clients: career assessment and counseling, basic education and reading preparation, ESOL instruction, high school equivalency program (External High School Diploma Program and GED preparation), life skills classes in employability, job keeping and seeking skills, and literacy tutoring. In addition to these services, the Rensselaer County DSS provides counseling and case management to welfare recipients who are served by the CASSET Resource Center.

The Resource Center serves adults 16 years of age or older who have not completed their high school education or who are in need of literacy or ESOL instruction. Clients come to the Resource Center as a result of extensive recruitment in the community that has been conducted by the CASSET staff or through referrals from DSS. Clients who are referred by DSS first are screened by DSS staff to determine their eligibility to receive welfare benefits. Those eligible for welfare and who are in need of basic skills remediation are sent to the Resource Center to fulfill their educational requirements, which are mandated by the Federal JOBS (Job Opportunities and Basic Skills) program. These clients also are eligible for child care services, which are provided by three centers located within walking distance of the Resource Center. In addition to education and child care services, clients are referred to job training programs that are conducted by local agencies collaborating with the Resource Center.

Clients who come to the Resource Center participate in an intake process, during which CASSET counselors administer the TABE or the Peabody Individualized Achievement Test (PIAT) to determine clients' skill levels in reading and mathematics. Based on the results of their performance on the TABE, clients not referred by DSS are placed in basic skills or ESOL classes, are referred to Literacy Volunteers of America for tutoring in literacy, or are placed in GED preparation classes. For clients referred by DSS, the TABE or PIAT results are given to a DSS counselor who then directs the client to one of the education services offered by the Resource Center.

The intake process also includes an interview with clients to determine their occupational or job training and support service needs. Clients who are referred by DSS participate in the case management process conducted by the agency, and this information is transferred with the client to the CASSET staff. Clients who are in need of ongoing case management services meet weekly with a DSS

counselor, who helps them with their support service needs while they participate in the educational component of the program.

Staffing and Staff Development. Instructional and counseling staff are located at the Resource Center. As of the fall of 1990, two ESOL and two basic education/high school preparation instructors provided the educational services offered by the Resource Center. One staff member also was responsible for implementing the services offered by the Job Club Program and the New York State Career Counseling Program.

The Resource Center staff has participated in case management, counseling, and assessment workshops sponsored by the State Education Department as part of the ACCESS/CASSET initiative.

Interagency Linkages. A key feature of the CASSET initiative is the inter-agency Advisory Council required by the State Education Department for each CASSET center. The advisory council for the CASSET center administered by the Rensselaer-Columbia-Greene BOCES is composed of representatives from 17 local provider agencies, all of whom are decision makers in their agencies. Many of the council members previously had worked with the coordinator of the CASSET center and with each other through community activities, and this prior knowledge has facilitated the communication among council members.

Council meetings are held monthly and the agenda for these meetings includes discussions about the varied services offered by member agencies and about processes for linking services and referring clients. While many of the council members knew each other from previous community work, this knowledge did not always extend to an understanding of the services provided by the council member's agency. The CASSET Advisory Council meetings have provided opportunities for members to share information about their services and client populations, as well as to discuss ways in which these services can be coordinated. For example, BOCES and LVA have worked together to determine strategies for offering family literacy services. The council member from the Economic Development Zone was able to identify ways in which Federal Community Development Block Grant funds could be used to provide literacy services for public housing participants.

The discussions at the advisory council meetings also have focused on methods for sharing data about clients and assessment services, and identifying opportunities for collaboration among council members. For example, the CASSET staff conduct the intake assessment of DSS clients' basic skills and share these data with DSS staff. In another collaborative effort between the Resource

Center and the Enlarged City School District of Troy, the CASSET staff conducted the screening of prospective participants for an occupational education class for adults offered by the school district. The Center also conducts similar screening for clients from the BOCES Vocational Technical Center and the Educational Opportunity Center.

Another topic addressed during advisory council meetings has been cross-referral of clients to agencies represented on the council. In agreeing to participate in the CASSET center, the advisory council members assumed that their respective client populations would expand because of the sharing of information about agencies' services and the availability of services such as adult education, counseling, occupational training, and child care. When this expectation is not realized, advisory council members discuss steps that might be taken to improve the interagency referral process. This procedure of addressing difficulties systematically in meetings has been an effective mechanism for keeping advisory council members engaged in the CASSET center's activities and has helped to further interagency collaboration.

Program Outcomes

The operation of the CASSET center has been beneficial to the local community and to the clients who have received services from the Center. The co-location of adult education, DSS services, and the Job Service at one site has facilitated the referral of clients and the sharing of information between the two staffs. As the number of welfare clients required to participate in education programs has increased, the CASSET center has helped to provide more comprehensive services to these clients.

The establishment of the advisory council has been an opportunity for agency representatives to learn about each others' programs, particularly with regard to the unique services that are being provided. The ongoing communication among council members has helped them develop ways of working together that are mutually beneficial.

Finally, the adult education clients have benefitted from the availability of information about job training and support services. These students are now being referred to services that ordinarily would not have been accessible.

Special Features of the Program

A key component of the Rensselaer-Columbia-Greene BOCES CASSET Resource Center has been the interagency advisory council, which has provided guidance and information resources to the Center. The successful operation of an advisory council is central to the success of the CASSET concept, and this Council has been able to establish a routinized working relationship that has resulted in ongoing referrals among agencies and a new awareness of how agencies can work together on behalf of their clients.

LIST OF PERSONS INTERVIEWED

State Level

Joseph Capobianco
Income Maintenance Specialist III
Division of Income Maintenance
New York State Department of Social Services

Russell Kratz
Chief
Bureau of Continuation Education Field Services
New York State Education Department

Iona Mirsky
ACCESS/CASSET Coordinator
Bureau of Continuing Education Field Services
New York State Education Department

Robert Poczik
Director
Division of Continuing Education Programs
New York State Education Department

Local Level

John Bergman
Coordinator, Occupational Education
Enlarged City School District of Troy

Sandra Brown
Human Resource Coordinator
Economic Development Zone

Ilene Clinton
Coordinator, CASSET Resource Center
Rensselaer-Columbia-Greene BOCES

Thomas Cowell
Regional Director
New York State Department of Labor

William Durivage
Coordinator, Job Development
Rensselaer County Office of Employment and Training

Donald Hepp
Associate Superintendent for Pupil Personnel Services
Enlarged City School District of Troy

Boykin Martin
Director
Mid-Manhattan Adult Learning Center

David Orlep
Director, Office of Adult Education
Enlarged City School District of Troy

Wanda Sharp
Employment Coordinator, Project Hire
Rensselaer County Department of Social Services

Helen Weinberg
Director, Office of Adult and Continuing Education
New York City Board of Education

Joan Winhold
Director
Troy, New York Literacy Volunteers of America

V. CALIFORNIA

A. State-Level Activities

Overview

With one of the largest adult education programs in the country, the California State Department of Education (SDE) has been engaged in interagency coordination activities with the California State Department of Social Services (DSS) and the Employment Development Department (EDD) to promote the delivery of quality adult education, job training, and support services in the State. The major programs that have been the center of the coordination activities are: Greater Avenues for Independence (GAIN)--developed in conjunction with the State's welfare reform program and administered by DSS; the Job Training Partnership Act (JTPA) 8% funds that are administered by the State Department of Education as a result of an interagency agreement with EDD; and the Amnesty Program--authorized by the Immigration Reform and Control Act (IRCA) of 1986 and administered by the California Department of Education's Amnesty Education Office.

In addition to these programs, the Department of Education's Adult Education Unit has undertaken several activities to facilitate coordination in the delivery of local services and in the development of adult education policy. This case study describes the ways in which these programs and activities have advanced the coordination of adult education services. Also presented is a description of one school district's success in coordinating programmatic and fiscal resources for supporting the provision of comprehensive services to adult education students.

Implementation of Interagency Activities

GAIN. The Greater Avenues for Independence legislation (Chapter 1025, Statutes of 1985; AB 2580), passed by the California legislature and signed by the Governor in 1985, is an employment and training program aimed at providing Aid to Families with Dependent Children (AFDC) recipients with the skills they need to make them employable and decrease their dependence on welfare (California Department of Education, 1988).

The GAIN Program requires AFDC recipients to participate in activities that will move them toward economic self-sufficiency, including job services as well as training, education, and support services that can assist AFDC recipients

in attaining unsubsidized employment. Education services available to GAIN participants are basic skills instruction, English-as-a-second-language (ESL) instruction, high school diploma programs, vocational training, vocational ESL, and Regional Occupational Centers and Programs (ROC/P). GAIN also provides for job search and support services such as counseling, child care, and transportation.

While DSS administers the GAIN Program, SDE and other State education and training agencies share responsibility for State-level program planning and support. County welfare departments administer the program at the local level in coordination with education and job training providers. These providers include the following: adult schools, regional occupational centers and programs, community colleges, local Private Industry Councils (PIC), and child-care agencies. Local agencies are required to prepare plans and submit them to DSS for approval and SDE for review.

Under the GAIN program, welfare recipients receive assessment, case management and support services (such as child care). Based on the results of the assessment process, clients are referred to adult education or job training services.

One feature of the GAIN program that has facilitated coordination is the assessment component. GAIN programs are required to use the Comprehensive Assessment System for Adult Students (CASAS), which was originally developed with Federal Adult Education Act monies administered by the State Department of Education. The majority of adult schools, community colleges, and JTPA service providers offering adult education programs also use CASAS, and GAIN's assessment requirement has facilitated the referral of students into basic education and job training services.

JTPA 8% Funds. Under an interagency agreement with the Economic Development Department, the State Department of Education administers the State's JTPA 8% funds. Through the GAIN legislation, 50 percent of these funds has been allocated to provide educational services for GAIN participants. The legislation also gives priority to public educational institutions to receive these funds. The allocation of these funds at the local level involves review of the proposed plan by the local PIC and the SDE, who also sends copies of the plans to DSS.

The other half of the JTPA 8% funds is used to support the implementation of special projects, evaluation activities, administration activities, and related services. Thirty percent of the remaining 50 percent of the funds is allocated

through a competitive bidding process and supports projects that have been identified as priorities by the State JTPA Coordinating Council. Illustrative projects have included the implementation of job training programs with a literacy component and the development of services for high risk youth. The remaining 20 percent of the funds is spent on projects such as evaluation and dissemination activities as well as administration activities.

The use of the JTPA 8% funds to support the GAIN program has increased the participation of varied service providers and enhanced the quality of services that are available to GAIN recipients. The development of special projects and dissemination services with the remaining funds has resulted in the availability of new models for the delivery of job training and education services.

Amnesty Program. A major component of the IRCA legislation was the Amnesty Program requirement that participants enroll in 40 hours of a 60-hour course of study in English and U.S. History. Because of this requirement, State Legislation Impact Assistance Grants (SLIAG) funds authorized under IRCA were available to States to offer these services. In California, IRCA funds were channeled through the Governor's office to the State Health and Welfare Administration (HWA). The California Department of Social Services administered the SLIAG funds.

The Amnesty Education Office in the California Department of Education administered the funds for educational activities required by the legislation. The IRCA legislation mandated a set aside of ten percent for Education, ten percent for Health, and ten percent for Welfare. While operational, the distribution could be changed by the administrator for the Health and Welfare Agency.

A major part of the implementation of the educational requirements has been the development of a data management/reporting program to track the characteristics and progress of Amnesty Program clients. CASAS staff developed the reporting forms, collected data, and analyzed the findings for the Department of Education. CASAS also designed the eligibility screening process that was used to place students in Amnesty Programs and monitor their progress. The use of the CASAS assessment system in existing adult education programs provided a model for assessment and aided the implementation of the education screening requirements for Amnesty Programs. Another factor that facilitated the implementation of the Amnesty Program was the availability of accountability data from adult basic education programs that could be used to generate predictions for the amount of money that would be required to serve anticipated clients. The Amnesty Program generated increased numbers of ESL students for adult education programs administered by local educational agencies (LEAS), and

it also resulted in an expanded involvement of community-based organizations in the delivery of English-language instruction.

Adult Education Unit Activities

While the major thrust in coordination in adult education has been between the State Department of Education and other State agencies, the SDE's Adult Education Unit also has conducted activities to promote coordination and planning at the local program level and for State policy. These activities were delineated in California's State Plan for expending Federal adult education monies and included the following for program year 1989-1990:

- Encouraging coordination in local programs through incentives such as a 25 percent higher funding rate for local agencies funded with Adult Education Act (AEA) Section 321 monies that engage in collaborative arrangements;

- Convening multi-agency groups such as an Interim Steering Committee composed of representatives of key stakeholder agencies in adult education and businesses in California to promote the delivery of integrated services; and

- Developing a strategic plan for adult education in California through activities such as the funding of the Adult Education Institute for Research and Planning.

Local Program Coordination. While interagency coordination in local adult education programs has been encouraged through the implementation of GAIN and the Amnesty Program, the Adult Education Unit also has undertaken informal and formal activities to promote collaboration among local adult education providers and between these providers and other agencies. The informal activities have included the Unit's conduct of regional meetings sponsored by the Unit in which interagency coordination has been discussed and SDE consultants' encouragement of coordination during their monitoring visits to local programs.

A formal policy established regarding coordination was the provision of an incentive to AEA Section 321 grant recipients to collaborate with other organiza-

tions, businesses, or agencies to improve access to and coordination of adult basic education services. The California Department of Education offered a 25 percent higher funding rate for students served through collaborative arrangements. In 1989-1990, this higher rate equated to $2 per Hundred Hour Unit.

An evaluation of the implementation of the first year of California's State Plan for Adult Education (Evaluation and Training Institute, 1990) indicated that interagency coordination was being carried out at the local level. In the evaluation, Section 321 grant recipients were surveyed and reported that they had engaged in several activities to improve planning and coordination, such as communicating with other education providers and community agencies as well as increasing coordination with other providers. The most common collaborative arrangements reported were the adult education program's provision of materials, equipment, and instruction at the collaborating agency site, and the collaborating agency's provision of facilities and student referrals. Section 321 grant recipients also indicated that they had worked with businesses and other organizations to provide more service than either would have been able to provide alone.

Less promising was the 25 percent higher funding rate incentive for collaborative activities that was offered to Section 321 grant recipients. The survey results indicated that this incentive had limited impact on agencies' willingness to engage in collaborative activities.

Multi-Agency Groups. One strategy used by the Adult Education Unit to promote interagency coordination and statewide planning for adult education was the convening of an Interim Steering Committee, composed of members representing the adult education service providers in the State and co-chaired by the manager of the Adult Education Unit and the Assistant Chancellor of the Community College system. The Interim Steering met two times during 1990. Between the first and second meetings, there was an average of three meetings of each of the four standing subcommittees:

- Funding Policies;
- Quality Standards and Performance Measures;
- Data and Information Systems and Program Support; and
- Research Grants and Staff Development.

The Steering Committee provided an opportunity for local adult education service providers, representatives from business and community colleges, and State Department of Education staff to meet together to formulate recommendations for improving the operation of the State's adult education system. Of particular importance was the participation of a representative from the community college system, which traditionally has not worked in developing policy initiatives with the State Department of Education.

Another opportunity for agencies to come together to plan for promoting and delivering literacy services has been the California Alliance for Literacy. The Alliance was established in the mid 1980s by representatives from the Adult Education Unit and the California State Library System and included volunteer literacy service providers, business representatives, and other organizational representatives engaged in the delivery of literacy services. The Alliance meets periodically and discusses ways to improve the amount and quality of literacy services available in the State.

Strategic Planning Process. A major planning and research activity undertaken by the Adult Education Unit has been the funding of a strategic planning process. The Adult Education Institute (AEI) for Research and Planning had responsibility for developing the strategic plan for California. This three-year effort was designed to gather information about the current practice of adult education in the State and to recommend initiatives that can be taken to provide an integrated service delivery system through coordinated activities and the use of technology. The work of AEI has resulted in the production of numerous policy briefs and a set of recommendations for steps that might be taken.

Outcomes from Coordination

Coordination in adult education in California has been encouraged and supported by Federal and State legislation in welfare reform, job training, and amnesty education. The implementation of the legislative mandates has involved a complex process of developing and carrying out interagency agreements at the State and local levels. The result of these arrangements has been an increased client base for adult education and stronger interagency relationships in local communities.

Several factors have facilitated these interagency activities. The Department of Social Service's working relationship with the State Department of Education prior to GAIN provided a base for developing a system for carrying out the

GAIN Program. The availability of the CASAS assessment system and the experience of local adult education service providers in assessing students were resources that could be used in implementing the assessment requirements in GAIN and the Amnesty Program. Finally, while the service priorities of the State agencies participating in coordination have differed, there has been a desire on the part of all agencies involved to increase the quality and quantity of education, job training, and support services accessible to adults in the State.

B. Local-Level Activities

Introduction

Sweetwater Union High School District, located in Chula Vista, California, provides comprehensive education services to adults living in a geographical area that extends from south of the city of San Diego, California, to the Mexican border. Adult schools located on four major campuses in the district offer adult basic education programs, including literacy, basic skills, English-as-a-second-language, GED preparation, and high school completion classes; counseling services; vocational education and job training programs; and programs for special populations such as teen parents, displaced homemakers, and the elderly. In addition to these programs, services are provided through special projects such as the New Chance program for teen parents.

Since the institution of the State's cap on funding for adult education in 1978, Sweetwater Union High School District has been engaged in a number of coordination activities aimed at expanding the amount and sources of funding available for programs to serve its diverse student population. The advent of the GAIN and Amnesty Programs reinforced the district's need to collaborate with other organizations and districts in securing resources and providing services. Two of these coordination activities, which are highlighted in this case study, are: (1) the multi-faceted service delivery and funding strategy that has been undertaken by the district, and (2) the formation of the GAIN Remediation Adult Deliverers (G.R.A.D.) Consortium.

Overview of the Adult Education Program

Student Population. Sweetwater's adult education program is one of the largest in the State and, as such, serves a wide variety of basic education and ESL students. During program year 1989-1990, approximately 44,000 adults enrolled in at least one course sponsored by the district's adult education program. Of these students, about 14,000 participated in ESL classes. Furthermore, half of the ESL students were part of the district's Amnesty Program--the second largest in the State. In addition to the adult education program, one of the district's campuses serves students in grades 9-12.

Program Services. The district's adult education program offers instruction in literacy, adult basic education, ESL, high school completion, GED preparation, and vocational education on its four major campuses. Instruction in these areas is delivered in discrete programs and as part of integrated service programs to special population groups, such as welfare clients and older adults. In implementing these programs, the district attempts to provide comprehensive services to students that includes assessment, instruction, counseling, and referral to related programs. While the assessment instruments that are used vary according to client level and program type, the CASAS assessment system is the predominant system that is being implemented. Instructional methods include whole group, small group, and individualized techniques, as well as computer-assisted instruction. Shop and laboratory settings also are utilized in the vocational education program. Student counseling and referral to related programs are offered as part of a number of the special projects that the district is funded to deliver.

Staffing and Staff Development. The district's adult schools are managed at the school site program by principals, who have responsibility for recommending the hiring and release of staff. Resource teachers have responsibility for developing curriculum at the program level. The resource teachers oversee the district-wide adult education programs as well as the special projects that are funded. As of the fall of 1991, there were ten full-time and one part-time resource teachers. The general instructional staff consists of 309 classroom teachers, 12 of whom are counselors. In addition to the resource teachers and classroom teachers, there are two administrators at each of the four major campuses.

Historically, staff development for instructors has been supported with State adult education funding. This funding comes directly to the district and through services that are offered by State Department of Education-funded projects such as the ESL Institute and the Outreach and Technical Assistance Network (OTAN). The Chula Vista Adult School also serves as one of six Regional Resource Centers for OTAN and, as such, provides staff development to adult educators in the southern region of the State.

Another source of staff development in Sweetwater has been the GAIN program. Staff working in GAIN attend workshops, many of which have focused on counseling and case management issues.

Program and Funding Coordination

Sweetwater's adult education program has used two main strategies to build its programmatic and fiscal resource base. First, the program has collaborated with a number of organizations in the community that serve similar population groups or provide services that can supplement those available in the district. This collaboration has involved the sharing of staff and services, and has included joint funding of projects. Second, the program has sought funding from a variety of Federal, State, local sources, and foundations to expand existing services and to offer new programs to its diverse client base. In carrying out this approach to funding, the adult education program staff has worked with the district's office of Federal programs to identify sources of funding and prepare proposals. The availability of this service at the district has enhanced the adult school program's capacity to develop a multi-faceted funding base.

Program Coordination. Sweetwater's adult education program staff has forged a number of relationships with other educational organizations, social service organizations, job training organizations, and community-based groups in attempting to expand the district's capacity to deliver services to its potential client population of adults. In addition to working with outside organizations and agencies, the district also has coordinated resources within its programs to enhance the services available to adults. A sampling of the district's coordination efforts is described below.

In a collaboration with the National City Library, Sweetwater has worked with Project READ's literacy tutoring program. The district trained the tutors, and Project READ, in turn, organizes tutoring for students from the district who need these services.

In the area of job training, Sweetwater has worked with the Job Corps program that is administered by the Curriculum Systems Development Center. Six instructors from the district teach basic skills to Job Corps participants at the learning center. The district pays the instructors' salaries and collects average daily attendance (ADA) funding for the students. This arrangement provides fiscal resources to the district and saves instructional costs for the Job Corps.

In addition to collaborative arrangements between the district and other agencies, the district coordinates resources within its programs. For example, one advantage of having the program for grades 9-12 at one of the major campuses has been the availability of equipment and facilities for providing vocational education instruction. The adult school program has been able to use these resources to provide occupational training to adult students with JTPA funding.

Another example of coordination within the district is the services offered by the Comprehensive Assistance Referral Education Center (CARE). Supported by Federal and State funds, CARE offers academic and vocational assessment, diagnostic, and referral services to students age 14 and older. Students in Sweetwater's adult school program are eligible to receive services from CARE, and this resource has been particularly useful in referring students to related education, job training, and related programs.

Sweetwater has a number of special projects that illustrate a comprehensive approach to service delivery in adult education, job training, and case management. The State's welfare reform program, GAIN, is offered as a separate instructional program by the district. GAIN serves welfare recipients in a collaborative effort with the county's Department of Social Services. The district provides student assessment, basic skills and ESL instructional services, child care, job preparation, and counseling to participants. There is close coordination between the GAIN instructors and the Department of Social Services social workers who provide case management services to participants. Assessment and other programmatic information is shared between the two groups, and this coordination has resulted in more effective and efficient services for participants.

Another model for the delivery of comprehensive services is the New Chance national demonstration program, which is funded with State Department of Education and private foundation monies. Mothers who are eligible for AFDC funding, who are between the ages of 17 and 21, and whose last child was born on or before their 19th birthday are candidates for the program. This 18-month program offers basic education and GED preparation, vocational education, counseling and case management, and child care.

Funding Coordination. While the district uses multiple sources of funding to support the majority of its adult school programs, two programs that exemplify this approach are the vocational and job training that is provided to adults and the district's programs for older adults. Several sources of funding support vocational and job training for adults, including monies from the Job Training Partnership Act (JTPA) and the Carl D. Perkins Vocational and Applied Technology Education Act, as well as contracts from local firms for workplace literacy services. Services funded by these monies include instruction, curriculum development, and assessment design.

The Sweetwater District's Adult Education Workforce 55+ Program provides services for older adults, including basic skills and ESL instruction, high school completion programs, vocational assessment, job placement assistance, and

program referral. These programs are supported with JTPA Title IIA and Title III monies.

G.R.A.D. Consortium

A major coordination activity that Sweetwater's adult education program has been instrumental in developing is the G.R.A.D. consortium, which was formed in 1986 to prepare for the implementation of GAIN. Six educational institutions in San Diego County have worked together in collaboration with the county's Department of Social Services (DSS) and Private Industry Council Regional Employment Training Consortium (PIC/RETC) to address the educational needs of welfare recipients.

One impetus for the consortium was the educational institutions' desire to have a coordinated process for negotiating with DSS and PIC/RETC regarding the funding and provision of services for GAIN clients. It was anticipated that these negotiations could be cumbersome if there was not a systematic process to ensure adequate funding and a commitment to the provision of quality services. The consortium members worked together to develop procedures to facilitate the allocation of resources and to mediate problems that might arise in the delivery of coordinated services. A standard contract was created for transferring funds from DSS to service providers to facilitate the development of agreements between DSS and each service provider. Of particular concern was the issue of equity among districts, since there was variation in district size and resources. To address this concern, the consortium specified a voting structure of one vote for each member, regardless of size.

The G.R.A.D. districts meet with DSS and PIC/RETC on a monthly basis to discuss topics such as the delivery of effective instructional programs, the collection of assessment data, and policy issues concerning the implementation of GAIN. The consortium has two on-going committees--an Operations Committee and an Instructional Committee--that meet monthly. The Operations Committee has discussed ways of streamlining procedures and reporting requirements. The Instructional Committee has been concerned with teaching approaches and materials that can be used by service providers in meeting clients' needs.

The consortium has been particularly successful in developing a decision-making process to change program policies and procedures in response to data that are collected by the group. The ability of consortium members to negotiate and develop policies that can benefit all members has contributed to the overall

effectiveness of the group as well as to the implementation of the GAIN program in San Diego County.

Special Features of the Program

Several features of Sweetwater's approach to coordination have contributed to its success in offering a comprehensive array of adult education, vocational and job training, and support services to adults. The utilization of resources both within the district and in the community has resulted in additional opportunities for the delivery of programs such as vocational training and for outreach to special population groups. The adult education program's working relationship with the district's office of Federal programs has enhanced its capacity to identify and apply for funds from varied Federal, State, and private sources. A personnel structure of resource teachers who can work across special projects (rather than on just specific programs) has made it possible to staff programs whose funding varies from year to year. Finally, the adult education program's leadership in organizing and participating in the G.R.A.D. consortium has contributed to the effectiveness of this group and has resulted in the district's formation of relationships with other service providers that have benefitted its adult education program.

LIST OF PERSONS INTERVIEWED

State Level

Raymond Eberhard
Administrator, Adult Education Unit
Youth, Adult, and Alternative Education Services
California Department of Education

Gayle Enderton
Program Analyst
GAIN and Employment Services Policy Bureau
California Department of Social Services

Robert Evans
Administrator, Employment Preparation Unit
Youth, Adult, and Alternative Education Services
California Department of education

Claude Hanson
Manager, Program Support Unit
Youth, Adult, and Alternative Education Services
California Department of Education

Del Sales
Chief, Employment Programs Branch
GAIN and Employment Services Policy Bureau
California Department of Social Services

Richard Stiles
Manager, Amnesty Education Office
California Department of Education

Local Level

Jerry R. Rindone
Director of Adult and Continuing Education
Sweetwater Union High School District

Vernon Brizendine
Assistant Director of Adult and Continuing Education
Sweetwater Union High School District

Roz Brizendine
Grant Writer, Division of Adult and Continuing Education
Sweetwater Union High School District

Louise Cain
Resource Teacher - Academics
Sweetwater Union High School District

Diane Carpenter
Resource Teacher - JTPA
Sweetwater Union High School District

Doug Flower
Resource Teacher - VEA
Sweetwater Union High School District

Russ Hamm
Coordinator, Project READ
National City Public Library

Alice Hurley
Resource Teacher - Literacy
Sweetwater Union High School District

Maxine MacDonald
Counselor
Comprehensive Assistance Referral Education Center

Dale Newell
Principal, Sweetwater Adult School

Connie O'Rielly
San Diego Private Industry Council

Lynne Robinson
GAIN Coordinator
Sweetwater Union High School District

Adrianna Sanchez-Aldana
Resource Teacher - Amnesty Program
Sweetwater Union High School District

Edward Spies
Principal, Montgomery Adult School

Linda Taylor
Director, New Chance Program
Sweetwater Union High School District

Melinda Templeton
Resource Teacher - ESL Program
Sweetwater Union High School District

Linda Thomas
Instructor/Job Developer
Chula Vista Adult School

Norman E. Yaggie
Principal, Chula Vista Adult School

G.R.A.D. Consortium members

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